

SIRIUS Database Search Results

To: Bartley, Kenneth
Location: KNX 05 B49
Art Unit: 3693
Date: 07/13/10
Case Serial Number: 09/801,848

From: Paul Obiniyi
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Search Notes

Dear Examiner Bartley:

Please find attached the results of your search for the above-referenced case. The search was conducted in the template files.

I have listed *potential* references of interest in the first part of the search results. However, please be sure to scan through the entire report. There may be additional references that you might find useful.

If you have any questions about the search, or need a refocus, please do not hesitate to contact me.

Thank you for using the EIC, and we look forward to your next search!

Paul

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**EIC-Searcher identified “potential references of interest” are selected based upon their apparent relevance to the terms/concepts provided in the examiner’s search request.*

I. Potential References of Interest

A. Dialog

30/3,K/2 (Item 2 from file: 348)
DIALOG(R)File 348: EUROPEAN PATENTS
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00724743
Knowledge base management system with enhanced explanation of derived information and of error objects.
Wissensbasis-Verwaltungssystem mit verbesserter Erklärung der erhaltenen Information und der Fehlerobjekte.
Système de gestion d'une base de connaissances avec l'explication améliorée de l'information dérivée et des objets d'erreur.
PATENT ASSIGNEE:
AT&T Corp., (589370), 32 Avenue of the Americas, New York, NY 10013-2412, (US), (applicant designated states: DE;FR;GB;IT)
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LEGAL REPRESENTATIVE:
Johnston, Kenneth Graham et al (32381), AT&T (UK) Ltd. 5 Mornington Road, Woodford Green Essex, IG8 OTU, (GB)
PATENT (CC, No, Kind, Date): EP 684554 A1 951129 (Basic)
APPLICATION (CC, No, Date): EP 95303295 950517;
PRIORITY (CC, No, Date): US 249113 940525
DESIGNATED STATES: DE; FR; GB; IT
INTERNATIONAL PATENT CLASS (V7): G06F-009/44;
ABSTRACT WORD COUNT: 245

LANGUAGE (Publication,Procedural,Application): English; English; English

FULLTEXT AVAILABILITY:

Available Text	Language	Update	Word Count
CLAIMS A	(English)	EPAB95	981
SPEC A	(English)	EPAB95	26213
Total word count - document A			27194
Total word count - document B			0
Total word count - documents A + B			27194

...SPECIFICATION 20, such as the hierarchy shown in FIG. 2a.

It is noted that a knowledge **representation system** 15 typically calculates and maintains the dependency relationships between pieces of information in the knowledge base 20 in **order** to efficiently update **related** information that is dependent upon information that is added or updated in the knowledge base...

...in the field 520. For a detailed discussion of the manner in which a

knowledge representation system 15
maintains dependency information, and in particular, the maintenance of
dependency information that is implicated...

30/3,K/5 (Item 1 from file: 349)
DIALOG(R)File 349: PCT FULLTEXT
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00844333 **Image available**
PLATFORM FOR MARKET PROGRAMS AND TRADING PROGRAMS
PLATE-FORME POUR PROGRAMMES DE MARCHE ET PROGRAMMES DE NEGOCE
Patent Applicant/Assignee:
EXCHANGELAB INC, 145 Hudson Street, Floor 7, New York, NY 10013, US, US
(Residence), US (Nationality), (For all designated states except: US)
Patent Applicant/Inventor:
KEITH Christopher, 105 Hudson Street, Apt. 5S, New York, NY 10013, US, US
(Residence), US (Nationality), (Designated only for: US)
Legal Representative:
POMERANCE Brenda (agent), Law Office of Brenda Pomerance, 260 West 52 St.
Apt. 27B, New York, NY 10019, US,
Patent and Priority Information (Country, Number, Date):
Patent: WO 200177943 A1 20011018 (WO 0177943)
Application: WO 2001US10712 20010402 (PCT/WO US0110712)
Priority Application: US 2000546031 20000410; US 2001801848 20010308
Designated States:
(Protection type is "patent" unless otherwise stated - for applications
prior to 2004)
AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ DE DK DM DZ EE
(AP) GH GM KE LS MW MZ SD SL SZ TZ UG ZW
(EA) AM AZ BY KG KZ MD RU TJ TM
Publication Language: English
Filing Language: English
Fulltext Word Count: 53155

Fulltext Availability:

Detailed Description
Claims

Claim

... process having a market methodology selected from a set of
market methodologies, and
operating a **representation process**
for selectively transmitting an order action between the market process
and an external market.
101. The method of claim 100, wherein selectively transmitting includes
selectively **converting** the **order**
action to a **converted** action.
102. The method of claim 101, wherein when the order action is an execute
operation, the converted action is a cancel operation. 103. The method...
...a post operation, the selectively converting is inhibited.
104. The method of claim 100, wherein when a response to the order action has not
been received by the **representation**
process within a predetermined time, the
representation process
automatically sends a zero action to the one of the market process and
the external...

30/3,K/20 (Item 16 from file: 349)
DIALOG(R)File 349: PCT FULLTEXT
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00563372 **Image available**
COMPUTER-IMPLEMENTED SECURITIES TRADING SYSTEM WITH VIRTUAL CURRENCY AND
VIRTUAL SPECIALIST
SYSTEME INFORMATIQUE DESTINE AU COMMERCE DE VALEURS BOURSIERES, AVEC DEVISE
VIRTUELLE ET SPECIALISTE VIRTUEL

Patent Applicant/Assignee:

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BURNS Michael R, 8365 Sunset View, Los Angeles, CA 90069, US,

Legal Representative:

LIBERCHUK Larry (agent), Brown Raysman Millstein Felder & Steiner,
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Patent and Priority Information (Country, Number, Date):

Patent: WO 200026745 A2-A3 20000511 (WO 0026745)
Application: WO 99US25793 19991102 (PCT/WO US99025793)
Priority Application: US 98184571 19981102; US 99382907 19990825

Designated States:

(Protection type is "patent" unless otherwise stated - for applications
prior to 2004)

AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE
(EP) AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE

Publication Language: English

Filing Language: English

Fulltext Word Count: 16385

Fulltext Availability:

Detailed Description
Claims

Claim

... second trader's account in the electronic currency for the executed
buy orders by
the **second** trader.

15 A **method** for conducting market research by
regulating **market** price in a computerized
trading system, the
system receiving **buy** orders and
sell orders for a plurality of securities, the
method comprising:
computing a plurality of buy-sell...

...imbalances between buy orders and sell orders for the security after
fulfilling a plurality of **trade**
orders; computing **matching**
projected price movements for the plurality of trade
orders by retrieving a **matching**
plurality of security price thresholds from a database, comparing the
matching security price thresholds to...

31/3,K/2 (Item 2 from file: 350)

DIALOG(R)File 350: Derwent WPIX
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0010766345 - Drawing available
WPI ACC NO: 2001-380421/200140
Related WPI Acc No: 2000-423092; 2001-450390
XRPX Acc No: N2001-278882
Computer based secondary **market** shares
transaction method for investment
companies, involves scanning database for matching **sell**
and **buy** orders and execution **trade**
upon match between **buy** and **sell** order
Patent Assignee: SHKEDY G (SHKE-I)
Inventor: SHKEDY G
Patent Family (1 patents, 1 countries)
Patent Application
Number Kind Date Number Kind Date Update
US 6236972 B1 20010522 US 1998203843 A 19981202 200140 B
US 1998217663 A 19981221

Priority Applications (no., kind, date): US 1998203843 A 19981202; US
1998217663 A 19981221

Patent Details
Number Kind Lan Pg Dwg Filing Notes
US 6236972 B1 EN 31 15 C-I-P of application US 1998203843
Computer based secondary **market** shares
transaction method for investment
companies, involves scanning database for matching **sell**
and **buy** orders and execution **trade**
upon match between **buy** and **sell** order

Alerting Abstract ...to buy order and buyer are stored in a database. The database is scanned for **matching** sell and buy **orders**. Trade is executed upon a match between sell and buy order and confirmation of transaction...
...to buy order and buyer are stored in the database. The database is scanned for **matching** sell and buy **orders**. Trade is executed upon match between sell and buy orders. Transaction confirmation is forwarded to...

Original Publication Data by Authority

Argentina

Assignee name & address:
Claims:
A computer based method for
facilitating a secondary
market transaction
of shares of investment companies
between at least one buyer, an intermediate, and a seller,
comprising: receiving...

...storing said buy order and buy tracking identification to said database; scanning the database for **matching** sell and **buy orders**; binding the buyer to the intermediate; executing **trade** upon a match; **forwarding trade** confirmation to



a transfer agent; andforwarding confirmations of transaction to the buyer and the seller.

30/3,K/11 (Item 7 from file: 349)

DIALOG(R)File 349: PCT FULLTEXT

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00801786 **Image available**

TRADING SYSTEM FOR PROCESSING MARKET DATA AND METHOD FOR USE
SYSTEME DE MARCHE DE TITRES PERMETTANT DE TRAITER DES DONNEES DE MARCHE, ET
SON PROCEDE D'UTILISATION

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Patent Applicant/Inventor:

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Patent and Priority Information (Country, Number, Date):

Patent: WO 200135309 A1 20010517 (WO 0135309)

Application: WO 2000US31172 20001113 (PCT/WO US0031172)

Priority Application: US 99438240 19991112

Designated States:

(Protection type is "patent" unless otherwise stated - for applications
prior to 2004)

Publication Language: English

Filing Language: English

Fulltext Word Count: 7703

Fulltext Availability:

Detailed Description

Claims

Claim

... the trading system scheduler also for maintaining a last completion time for each of the **two** or more trading system requests;
enhanced **trading systems** for requesting aggregate interval data necessary to run one of the **trading systems** associated with the **two or more trading system** requests, and for providing the aggregate interval data to the **trading system**;
a **trading system** for initiating a **buy or sell** signal based upon the aggregate interval data supplied; and
a customer notification module for notifying...

B. Additional Resources Searched

27/ 140-PLUSPAT-© Questel

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Publication Stage

(B1) Granted patent as first publication

Patent Number

US7383220 B1 20080603 [US7383220]

Title

(B1) Automated short term option order processing

Abstract

A trading process automatically requests a short term option having a term of less than a minute, and sometimes less than a second, from a market process. The trading process and the market process both operate on a platform. The market process requests a platform service to set a timer to measure the expiration time of the short term option, and to notify the market process and the trading process at the expiration of the short term option. The short term option is particularly useful for a list of orders that must be executed, if at all, at a guaranteed price; in which case, the platform may adjust the expiration time of the short term options associated with the orders in the list to ensure that the orders in the list can be executed at particular respective prices.

Application Nbr

US09802088 20010308 [2001US-0802088]

Filing Details

CIP of: US09546031 20000410 [2000US-0546031]

Priority Details

US80208801 20010308 [2001US-0802088]

US54603100 20000410 [2000US-0546031]

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30/11/09 1 20*59*10

41/ 140-PLUSPAT-© Questel

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Publication Stage

(A1) First published patent application

Publication Stage 2

(B2) Granted patent as second publication

Patent Number

US2007005488 A1 20070104 [US20070005488]

Patent Number 2

US7383222 B2 20080603 [US7383222]

Title

(A1) ROUTING CONTROL FOR ORDERS ELIGIBLE FOR MULTIPLE MARKETS

Abstract

Trading processes are operative to route orders from order rooms to market processes, which process the orders according to respective market methodologies. The order routing strategy can be embodied in a decision table having rules with conditions and actions to be taken when the conditions are true. Accordingly, order rooms can readily configure and reconfigure trading processes.

Application Nbr

US11469470 20060831 [2006US-0469470]

Filing Details

Division of: US09801495 20010308 [2001US-0801495]

CIP of: US09546031 20000410 [2000US-0546031]

Previous Publication: US20070005488 A1 20070104

Priority Details

US46947006 20060831 [2006US-0469470]
US80149501 20010308 [2001US-0801495]
US54603100 20000410 [2000US-0546031]

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Publication Stage

(B1) Granted patent as first publication

Patent Number

US7136834 B1 20061114 [US7136834]

Title

(B1) Electronic securities marketplace having integration with order management systems

Abstract

An electronic trading marketplace (ETM) communicates with interfacing modules interfacing directly with order management systems (OMS's) at trading institutions. The interfacing modules automatically transmit orders from the OMS databases to the ETM and update the OMS databases in response to orders executed at the ETM. Traders can communicate with the ETM to anonymously negotiate trades of securities.

Application Nbr

US09834171 20010412 [2001US-0834171]

Filing Details

Provisional Appl: US60242373 20001019 [2000US-P242373]

Priority Details

US83417101 20010412 [2001US-0834171]

US24237300P 20001019 [2000US-P242373]

Inventor(s)

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30/11/09 3 20*59*10

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92/ 140-PLUSPAT-© Questel

Publication Stage

(D0) Patent application filed

Publication Stage 2

(A) Published patent application

Patent Number

GB0313935 D0 20030723 [GB200313935]

Patent Number 2

GB2386229 A 20030910 [GB2386229]

Title

(D0) Systems and methods for linking bids and offers in a trading interface

Abstract

Systems and methods of the present invention are directed particularly towards linking bids and offers (406) related to the same or similar items (e.g., currency, stocks, bonds, futures contracts, energy). A user may enter parameters (402) for linking bids and offers. The parameters may be entered (404) prior

to, or concurrently with, the entry of the bids and offers. In response, the trading system may generate an offer and a bid (408) substantially simultaneously which may reduce the adverse affects of changed market conditions on the latter of an entered bid or offer.

Application Nbr

GB0313935 20011207 [2003GB-0013935]

PCT Application Number

WOUS0147464 20011207 [2001WO-US47464]

Priority Details

WOUS0147464 20011207 [2001WO-US47464]

US25179000P 20001207 [2000US-P251790]

US99569801 20011129 [2001US-0995698]

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30/11/09 5 20*59*10

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Publication Stage

(A1) First published patent application

Publication Stage 2

(B2) Granted patent as second publication

Patent Number

US2002091617 A1 20020711 [US20020091617]

Patent Number 2

US7472087 B2 20081230 [US7472087]

Title

(A1) Trading program for interacting with market programs on a platform

Abstract

A trading process having a trading methodology selected by a user is operative to interact with market processes having respective market methodologies. The trading process and the market processes are supported on a platform that also supports platform processes for providing services to the trading processes and market processes. The trading processes interact with each other and with external markets through the market processes.

Application Nbr

US09802025 20010308 [2001US-0802025]

Filing Details

CIP of: US09546031 20000410 [2000US-0546031]

Previous Publication: US20020091617 A1 20020711

Priority Details

US80202501 20010308 [2001US-0802025]

US54603100 20000410 [2000US-0546031]

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Publication Stage

(A1) First published patent application

Publication Stage 2

(B2) Granted patent as second publication

Patent Number

US2002049666 A1 20020425 [US20020049666]

Patent Number 2

US7321873 B2 20080122 [US7321873]

Title

(A1) Foreign exchange trading system

Abstract

Computer-implemented trading of financial products can include using a first communication channel to stream offering data for a plurality of different financial products from a server to a trading terminal. A second communication channel can be used to receive request for offers about ones of the financial products from the trading terminal. Such request can include user-specified parameters that modify or further specify characteristics of the desired products. Offers may then be determined for the product in accordance with the user-specified parameters and transmitted (over the second communication channel) back to the trading terminal. Each communication channel can be allocated a different priority and/or different level of system processing resources to optimize the allocation of system resources based on the criticality of data on each channel.

Application Nbr

US09935257 20010822 [2001US-0935257]

Filing Details

30/11/09 7 20*59*10

Provisional Appl: US60226843 20000822 [2000US-P226843]

Previous Publication: US20020049666 A1 20020425

Priority Details

US93525701 20010822 [2001US-0935257]

US22684300P 20000822 [2000US-P226843]

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Publication Stage

(A1) First published patent application

Publication Stage 2

(B2) Granted patent as second publication

Patent Number

US2002023045 A1 20020221 [US20020023045]

Patent Number 2

US7424452 B2 20080909 [US7424452]

Title

(A1) Method and system for initiating and clearing trades

Abstract

A system and method are provided for facilitating the exchange of data between one or more price providers and customers who communicate with the price providers through various portals, each of which may use its own data format. In transmitting data from customer to price provider, the data output

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from each portal is normalized to a standardized format and then transmitted to the appropriate price provider(s) where the data exchanged with the various portals can be viewed by a trader at a single display or can be exchanged with an automated pricing engine. The customer may also be provided with a universal Web site at which a customer may access any of the portals' Web sites to simplify access for the customer as well.

Application Nbr

US09848931 20010504 [2001US-0848931]

Filing Details

Provisional Appl: US60207570 20000526 [2000US-P207570]

Provisional Appl: US60203324 20000511 [2000US-P203324]

Provisional Appl: US60202381 20000504 [2000US-P202381]

Previous Publication: US20020023045 A1 20020221

Priority Details

US84893101 20010504 [2001US-0848931]

US20238100P 20000504 [2000US-P202381]

US20332400P 20000511 [2000US-P203324]

US20757000P 20000526 [2000US-P207570]

Inventor(s)

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Publication Stage

(A1) First published patent application

Publication Stage 2

30/11/09 9 20* 59* 10

(B2) Granted patent as second publication

Patent Number

US2002013753 A1 20020131 [US20020013753]

Patent Number 2

US7110975 B2 20060919 [US7110975]

Title

(A1) Order matching system

Abstract

A order matching system which allows users to define and modify buy/sell order schedules for execution within one or more transaction destinations. The system uses order schedules and associated evaluation heuristics to evaluate and update order characteristics such as price and quantity based on user-specified criteria. The matching system comprises a user interface which can be connected over the internet to various transaction destinations through a schedule manager and a transaction order interface. The user interface provides users with the ability to obtain information concerning the status of their order account as well as the ability to enter or modify their order schedules. The order manager uses a schedule supervisor server to maintain a database containing order schedules and order status information and to execute variable evaluations on the basis of these order schedules and associated evaluation heuristics. The order manager also uses a transaction supervisor server to monitor the status of order fills and to update the database periodically. The transaction order interface receives and communicates information messages between various transaction destinations and the schedule manager. In this way, the order matching system allows users to specify the ways that various terms and conditions at which they are willing to transact may change over time in an automated fashion while still retaining the ability to intervene at any time.

Application Nbr

US09770108 20010125 [2001US-0770108]

Filing Details



Provisional Appl: US60177649 20000127 [2000US-P177649]

Previous Publication: US20020013753 A1 20020131

Priority Details

US77010801 20010125 [2001US-0770108]

US17764900P 20000127 [2000US-P177649]

Inventor(s)

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Patent Assignee

(B2) MARKS DE CHABRIS GLORIANA; MARKS DE CHABRIS ANDREW

Patent Assignee 2

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30/11/09 10 20*59*10

123/ 140-PLUSPAT-© Questel

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Publication Stage

(A) Patent

Patent Number

US5864827 A 19990126 [US5864827]

Title

(A) System and method for providing an information gateway

Abstract

In a device and method to provide a gateway for the transfer of information between financial markets and customers, a processor is coupled to a customer system and to a financial market system. The processor receives transaction information from the customer system in a first format, converts it to a second format and transmits the transaction information to the financial market system. The processor receives an acknowledgment and a transaction confirmation from the financial market system in the second format, converts these to the first format and transmits the acknowledgment and the transaction confirmation to the customer system. The processor may also be coupled to a memory, where it stores tracking information relating to the transaction information, the acknowledgment and/or the transaction confirmation.

Application Nbr

US88373997 19970627 [1997US-0883739]

Priority Details

US88373997 19970627 [1997US-0883739]

Inventor(s)

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Patent Assignee

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Patent Assignee

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Publication Stage

(A) Patent

Patent Number

US5710889 A 19980120 [US5710889]

Title

(A) Interface device for electronically integrating global financial services

Abstract

An interface device for electronically integrating a plurality of financial services provided at different geographical locations and in different time zones, and delivering such services directly to a customer facility at any time requested by the customer. The customer connects to the system whenever desired to access each of the services, and the interface device stores and routes messages between the customers and each of the service providers at the respective times when the customers' facilities and

the service providers' facilities are operative. The system can be accessed through a customer's standalone personal computer, local area network, and/or mainframe computer. The system also includes a variety of security functions that provide different levels of access to the services for different customers.

Application Nbr

US47416795 19950607 [1995US-0474167]

Filing Details

Division of: US392270 19950222 [1995US-0392270]

Priority Details

US47416795 19950607 [1995US-0474167]

US39227095 19950222 [1995US-0392270]

Inventor(s)

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132/ 140-PLUSPAT-© Questel

Publication Stage

(A) Patent

Patent Number

US5136501 A 19920804 [US5136501]

30/11/09 12 20^59*10

Title

(A) ANONYMOUS MATCHING SYSTEM

Abstract

A matching system for trading instruments in which bids are automatically matched against offers for given trading instruments for automatically providing matching transactions in order to complete trades for the given trading instruments, includes a host computer means (20) comprising means for anonymously matching active bids and offers in the system by trading instrument based on a variable matching criteria, which comprises counterparty credit limit between counterparties (24a, 26b) to a potential matching transaction. The system also includes a transaction originating keystation (24a) for providing a bid on a given trading instrument to the system for providing the potential matching transaction; a counterparty keystation (26b) for providing an offer on the given trading instrument involved in the potential matching transaction; and network means (22) for interconnecting the host computer means (20), the transaction originating keystation (24a) and the counterparty keystation (26b) in the system for enabling data communications therebetween. Both the transaction originating keystation (24a) and the counterparty keystation (26b) for the potential matching transaction each have an associated counterparty credit limit, with the system (20) blocking completion of the potential matching transaction between the transaction originating keystation (24a) and the counterparty keystation means (26b) when the potential matching transaction has an associated value in excess of counterparty credit limit. The assigned credit limits may be reset or varied by the users (24a, 26b) to change the ability of the user or subscriber to effectuate deals.

Application Nbr

US35747889 19890526 [1989US-0357478]

Priority Details

US35747889 19890526 [1989US-0357478]

Inventor(s)

(A) SILVERMAN DAVID L (US); KELLER NORMAN (US)

Patent Assignee

(A) REUTERS LTD (GB)

Patent Assignee

Reuters Limited, London [GB]

138/ 140-PLUSPAT-© Questel

© Questel

Publication Stage



(A) Patent
30/11/09 13 20* 59* 10

Patent Number

US4674044 A 19870616 [US4674044]

Title

(A) Automated securities trading system

Abstract

Data processing based apparatus makes an automated trading market for one or more securities. The system retrieves the best obtaining bid and asked prices from a remote data base, covering the ensemble of institutions or others making a market for the relevant securities. Data characterizing each securities buy/sell order requested by a customer is supplied to the system. The order is qualified for execution by comparing its specifics against predetermined stored parameters. The stored parameters include the operative bid and asked prices, the amount of stock available for customer purchase or sale, and maximum single order size. Once qualified, the order is executed and the appropriate parameters are updated. The system provides inventory (position) control and profit accounting for the market maker. Finally, the system reports the executed trade details to the customer, and to national stock price reporting systems. Upon a change in the quoted price for a security, the system updates all relevant qualification parameters.

Application Nbr

US69640785 19850130 [1985US-0696407]

Priority Details

US69640785 19850130 [1985US-0696407]

Inventor(s)

(A) KALMUS LESLIE P (US); TROJAN DONALD R (US); MOTT BRADLEY (US); STRAMPFER JOHN (US)

Patent Assignee

(A) MERRILL LYNCH PIERCE FENNER & (US)

Patent Assignee

Merrill Lynch, Pierce, Fenner & Smith, Inc., New York NY [US]

30/11/09 14 20* 59* 10

II. Inventor Search Results from Dialog

? t/ 3,k/ all

13/3,K/6 (Item 6 from file: 349)
DIALOG(R) File 349: PCT FULLTEXT
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00844333 **Image available**
PLATFORM FOR MARKET PROGRAMS AND TRADING PROGRAMS
PLATE-FORME POUR PROGRAMMES DE MARCHE ET PROGRAMMES DE NEGOCE

Patent Applicant/Assignee:

EXCHANGELAB INC, 145 Hudson Street, Floor 7, New York, NY 10013, US, US
(Residence), US (Nationality), (For all designated states except: US)

Patent Applicant/Inventor:

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for: US)

Legal Representative:

POMERANCE Brenda (agent), Law Office of Brenda Pomerance, 260 West 52 St.

Apt. 27B, New York, NY 10019, US,
Patent and Priority Information (Country, Number, Date):
Patent: WO 200177943 A1 20011018 (WO 0177943)
Application: WO 2001US10712 20010402 (PCT/WO US0110712)
Priority Application: US 2000546031 20000410; US 2001801848 20010308
Designated States:
(Protection type is "patent" unless otherwise stated - for applications prior to 2004)
AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ DE DK DM DZ EE
ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE KG KP KR KZ LC LK LR LS LT
(EA) AM AZ BY KG KZ MD RU TJ TM
Publication Language: English
Filing Language: English
Fulltext Word Count: 53155

Patent Applicant/Inventor:

KEITH Christopher...

Legal Representative:

Fulltext Availability:

Detailed Description

Claims

Detailed Description

... OF THE INVENTION

In accordance with an aspect of this invention, there is provided a **method** of facilitating **trading** on a **platform** supporting multiple processes. At least **two market** processes having respective market methodologies are automatically operated, and at least two trading processes are...

...having a market methodology selected from a set of market methodologies

BRIEF DESCRIPTION OF THE DRAWINGS

Fig. 1 is a block diagram of a **trading system platform** used with the present **methodology**;

Fig. 2 is an overall flowchart of operation of an order ELF;

Fig. 3 is a flowchart...with another order umpire on system 5. A mE is also referred to as a **representation process**. In a generally symmetric manner, when an order is represented at oU 30 and at...1. Fast mode symbol - available, but not allowing affirmations from the ELF prior to pairing.

Claim

... trading processes to trade with each other at the market processes according to the respective **market** methodologies.

...trading processes has a respective order routing strategy for automatically routing orders from the respective **trading process** to the at least **two market** processes.

20 The **method** of claim 19, wherein one of the orders from one of the trading processes is routed to at least **two** of the **market** processes.

21 The **method** of claim 19, wherein the automatically routing is in accordance with a relationship between the...comprising automatically ensuring the order is executable in at most one of the first and **second market** processes.

...wherein when a response to the order action is received after the predetermined time, the **representation process** automatically sends a negative acknowledgement to the one of the market process and the external market that originated the response. 106. The method of claim 100, wherein the **representation process** is a platform process.

107. The method of claim 100, further comprising operating a **second representation process** for selectively transmitting actions between the **market process** and a **second** external **market**. 108. The **method** of claim 100, further comprising operating a trading process able to take actions at...

10/3,K/1 (Item 1 from file: 350)
DIALOG(R)File 350: Derwent WPIX
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0011159960 - Drawing available
WPI ACC NO: 2002-097359/200213
Related WPI Acc No: 2002-017514; 2002-017515; 2002-025925; 2008-G80358;
2008-J24970

XRPX Acc No: N2002-071972
Trading and transaction execution method for common platform working, involves initiating trading processes to interact with each other at different market processes based on respective marketing methodologies
Patent Assignee: EXCHANGELAB INC (EXCH-N); KEITH C (KEIT-I)

Inventor: KEITH C

Patent Family (4 patents, 92 countries)

Number	Kind	Date	Number	Kind	Date	Update
WO 2001077943	A1	20011018	WO 2001US10712	A	20010402	200213 B
AU 200149799	A	20011023	AU 200149799	A	20010402	200213 E
US 20010044770	A1	20011122	US 2000546031	A	20000410	200213 E
			US 2001801848	A	20010308	
US 7574398	B1	20090811	US 2000546031	A	20000410	200953 E
			US 2001801848	A	20010308	
			US 2006514714	A	20060831	

Priority Applications (no., kind, date): US 2000546031 A 20000410; US 2001801848 A 20010308; US 2006514714 A 20060831

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing Notes
WO 2001077943	A1	EN	222	103	

National Designated States,Original: AE AG AL AM AT AU AZ BA BB BG BR BY

Regional Designated States, Original: AT BE CH CY DE DK EA ES FI FR GB GH
GM GR IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TR TZ UG ZW
AU 200149799 A EN Based on OPI patent WO 2001077943
US 20010044770 A1 EN C-I-P of application US 2000546031
US 7574398 B1 EN C-I-P of application US 2000546031
Continuation of application US
2001801848

Inventor: **KEITH C**

Original Publication Data by Authority

Argentina

Assignee name & address:

Inventor name & address:

Keith, Christopher...

...Keith, Christopher...

...KEITH, Christopher

Examiner:

Claims:

...between at least two trading processes that are executing on the platform, automatically operating a **representation process** on the same platform as the first market process and the at least two trading processes, wherein the **representation process** is communicatively coupled to the first market process and to a second market process, wherein...

...for trading the item between the at least two trading processes, automatically receiving at the **representation process** an order action from one of the first market process and the second market process, and automatically transmitting the order action from the **representation process** to the other of the first market process and the second market process according to...

13/3,K/1 (Item 1 from file: 349)
DIALOG(R)File 349: PCT FULLTEXT
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01697036 **Image available**

FINANCIAL INSTRUMENT BASED ON CONTENT AND METHODS FOR VALUATION
INSTRUMENT FINANCIER BASE SUR UN CONTENU ET PROCEDES D'EVALUATION
Patent Applicant/Assignee:

OCEAN TOMO LLC, 200 West Madison, 37th Floor, Chicago, IL 60606, US, US
(Residence), US (Nationality), (For all designated states except: US)

Patent Applicant/Inventor:

MALACKOWSKI James E, c/o Ocean Tomo, LLC, 200 West Madison, 37th Floor, Chicago, IL 60606, US, US (Residence), US (Nationality), (Designated only for: US)

GRAY Cameron, c/o Ocean Tomo, LLC, 200 West Madison, 37th Floor, Chicago, IL 60606, US, US (Residence), US (Nationality), (Designated only for: US)

CARDOZA Keith M, c/o Ocean Tomo, LLC, 200 West Madison, 37th Floor, Chicago, IL 60606, US, US (Residence), US

(Nationality), (Designated only for: US)
BARNEY Jonathan A, c/o Ocean Tomo, LLC, 200 West Madison, 37th Floor,
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Legal Representative:

VALAUSKAS Charles C et al (agent), Valauskas & Pine LLC, 150 North
Wacker Drive, Suite 1825, Chicago, IL 60606, US

Patent and Priority Information (Country, Number, Date):

Patent: WO 200894680 A2-A3 20080807 (WO 0894680)
Application: WO 2008US1341 20080131 (PCT/WO US2008001341)
Priority Application: US 2007887575 20070131

Designated States:

(All protection types applied unless otherwise stated - for applications
2004+)

Publication Language: English

Filing Language: English

Fulltext Word Count: 8176

Patent Applicant/Inventor:

... Designated only for: US)

CARDOZA Keith M...

Legal Representative:

Fulltext Availability:

Detailed Description

Claims

Claim

... an investor; producing data from a valuation of the financial
instrument; and providing a payout.

2 1. The system for
trading a financial instrument, executing a
method to be performed according to claim 20 wherein
said producing step further comprises the step...

13/3,K/4 (Item 4 from file: 349)
DIALOG(R)File 349: PCT FULLTEXT
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00844336 ** Image available**
ROUTING CONTROL FOR ORDERS ELIGIBLE FOR MULTIPLE MARKETS
COMMANDE D'ACHEMINEMENT DESTINEE A DES COMMANDES RECEVABLES PAR DES MARCHES
MULTIPLES

Patent Applicant/Assignee:

EXCHANGELAB INC, 145 Hudson Street, Floor 7, New York, NY 10013, US, US
(Residence), US (Nationality), (For all designated states except: US)

Patent Applicant/Inventor:

KEITH Christopher, 105 Hudson Street, Apt. 5S, New
York, NY 10013, US, US (Residence), -- (Nationality), (Designated only
for: US)

Legal Representative:

POMERANCE Brenda (agent), Law Office of Brenda Pomerance, 260 West 52 St.
Suite 27B, New York, NY 10019, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200177946 A1 20011018 (WO 0177946)

Application: WO 2001US10725 20010402 (PCT/WO US0110725)
Priority Application: US 2000546031 20000410; US 2001801495 20010308

Designated States:

(Protection type is "patent" unless otherwise stated - for applications prior to 2004)

Publication Language: English

Filing Language: English

Fulltext Word Count: 51288

Patent Applicant/Inventor:

KEITH Christopher...

Legal Representative:

BRIEF DESCRIPTION OF THE DRAWINGS

Fig. 1 is a block diagram of a **trading**

system platform used with the

present

methodology;

Fig. 2 is an overall flowchart of operation of an order ELF;

Fig. 3 is a flowchart...with another order umpire on system 5. A mE is also referred to as a **representation**

process. In a generally symmetric manner, when an

order is represented at oU 30 and at...1. Fast mode symbol - available, but not allowing affirmations from the ELF prior to pairing.

at are in-process due to...

Claim

... the set of trading processes to a plurality of markets in accordance with the respective **trading** methodologies.

2 The **method** of claim 1, wherein one of the orders from one of the trading processes is routed to at least **two** of the **markets**.

3 The **method** of claim 1, wherein the automatically routing is in accordance with a relationship between the...

13/3,K/5 (Item 5 from file: 349)
DIALOG(R) File 349: PCT FULLTEXT
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00844334 **Image available**

MARKET PROGRAM FOR INTERACTING WITH TRADING PROGRAMS ON A PLATFORM
PROGRAMME DE MARCHE PERMETTANT D'INTERAGIR AVEC DES PROGRAMMES D'ECHANGES
COMMERCIAUX SUR UNE PLATE-FORME

Patent Applicant/Assignee:

EXCHANGELAB INC, 145 Hudson Street, Floor 7, New York, NY 10013, US, US
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Patent Applicant/Inventor:

KEITH Christopher, 105 Hudson Street, Apt. 5S, New York, NY 10013, US, US (Residence), US (Nationality), (Designated only

for: US)

Legal Representative:

POMERANCE Brenda (agent), Law Office of Brenda Pomerance, 260 West 52 St.
Ste. 27B, New York, NY 10019, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200177944 A1 20011018 (WO 0177944)
Application: WO 2001US10721 20010402 (PCT/WO US0110721)
Priority Application: US 2000546031 20000410; US 2001801588 20010308

Designated States:

(Protection type is "patent" unless otherwise stated - for applications prior to 2004)

Publication Language: English

Filing Language: English

Fulltext Word Count: 53363

Patent Applicant/Inventor:

KEITH Christopher...

Legal Representative:

BRIEF DESCRIPTION OF THE DRAWINGS

Fig. 1 is a block diagram of a **trading**

system platform used with the

present

methodology;

Fig. 2 is an overall flowchart of operation of an order ELF;

Fig. 3 is a flowchart...with another order umpire on system 5. A mE is also referred to as a **representation process**. In a generally symmetric manner, when an

order is represented at oU 30 and at...1. Fast mode symbol - available, but not allowing affirmations from the

ELF prior to pairing.

2. In-process - a periodic

market is processing its orders. During the time the umpire is in-process, it will not...Posted Price Price at which the amount, above, was posted

In Crowd The number of **trading** units represented in the crowd

In-Process (2) The number of shares, if any, at this umpire that are in-process due to...

Claim

... selected from a set of market methodologies, and ...method of claim 1, wherein automatically processing includes

forwarding a price proposal from a first **trading process** to a **second**

trading process, one of the orders having been received from the **second trading process**.

15 The **method** of claim 14, wherein contra-party lists associated with the first and second trading processes have been compared, and disclosure compatibility of the first and **second trading** processes has been checked.

16 The **method** of claim 1, wherein automatically processing includes receiving a choice of negotiation form,

automatically detecting...

...and

automatically committing the action after ensuring that the action is reflected in an external **market**.

30 The **method** of claim 1, wherein the **market methodology** selected from at least **two** of book, book with crowd price improvement notification, auction, match, and negotiation.

31 The method...sides corresponding to how one of the two market participants rates the other of the **two** **market** participants.

56 The **method** of claim 54, wherein the preference rating is based on at least one threshold.

13/3,K/7 (Item 7 from file: 349)
DIALOG(R)File 349: PCT FULLTEXT
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00844332 **Image available**
TRADING PROGRAM FOR INTERACTING WITH MARKET PROGRAMS ON A PLATFORM
PLATE-FORME POUR PROGRAMME D'ECHANGES INTERAGISSANT AVEC DES PROGRAMMES DE
MARCHE

Patent Applicant/Assignee:

EXCHANGELAB INC, 145 Hudson Street, Floor 7, New York, NY 10013, US, US
(Residence), US (Nationality), (For all designated states except: US)

Patent Applicant/Inventor:

KEITH Christopher, 105 Hudson Street, Apt. 5S, New
York, NY 10013, US, US (Residence), -- (Nationality), (Designated only
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Legal Representative:

POMERANCE Brenda (agent), Law Office of Brenda Pomerance, 260 West 52 St.
Suite 27B, New York, NY 10019, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200177942 A1 20011018 (WO 0177942)
Application: WO 2001US10711 20010402 (PCT/WO US0110711)
Priority Application: US 2000546031 20000410; US 2001802025 20010308

Designated States:

(Protection type is "patent" unless otherwise stated - for applications prior to 2004)

Publication Language: English

Filing Language: English

Fulltext Word Count: 53719

Patent Applicant/Inventor:

KEITH Christopher...

Legal Representative:

Fulltext Availability:

Detailed Description

Claims

Detailed Description

... or with another order umpire on system 5. AlniE is also referred to as

a representation process. In a generally symmetric manner, when an order is represented at oU 30 and at ...1. Fast mode symbol - available, but not allowing affirmations from the ELF prior to pairing.

2. In-process - a periodic **market** is processing its orders. During the time the umpire is in-process, it will not...Posted Price Price at which the amount, above, was posted
In Crowd The number of **trading** units represented in the crowd
In-Process(2) The number of shares, if any, at this umpire that are in-process due to...

Claim
... according to an action strategy selected from a plurality of action strategies by the user.

2 The **method** of claim 1, wherein the **trading process** is operative on a **platform** supporting a plurality of **trading** processes able to interact with the at least one **market** **process**.

3 The **method** of claim **2**, wherein the **platform** supports at least **two** **market** processes having respective market methodologies selected from a set of market methodologies.

13/3,K/8 (Item 8 from file: 349)
DIALOG(R)File 349: PCT FULLTEXT
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00828003 **Image available**
SYSTEM AND METHOD FOR EXECUTION OF TRADES MADE PURSUANT TO STOCK OPTION AND PURCHASE PLANS

SYSTEME ET METHODE D'EXECUTION DE TRANSACTIONS DANS LE CADRE DE PROGRAMMES D'OPTIONS SUR TITRES ET D'ACHATS Y RELATIFS

Patent Applicant/Assignee:

PAINEWEBBER INCORPORATED, 1200 Harbor Boulevard, Weehawken, NJ 07087, US,
US (Residence), US (Nationality), (For all designated states except:
US)

Patent Applicant/Inventor:

SHIELDS Lawrence P, 60 Pineapple, Brooklyn, NY 11201, US, US (Residence),
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CARSTEN Keith, 109 Barrenger Drive, Danville, CA 94506
, US, US (Residence), US (Nationality), (Designated only for: US)

MOONEY James P, 105 Coopers Lane, River Vale, NJ 07675, US, US
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Legal Representative:

RESTAINO Leslie Gladstone (agent), Brown Raysman Millstein Felder &
Steiner LLP, 4th Floor, 55 Madison Avenue, Morristown, NJ 07960, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200161535 A2 20010823 (WO 0161535)
Application: WO 2001US4166 20010209 (PCT/WO US0104166)
Priority Application: US 2000182399 20000214; US 2001779114 20010208

Designated States:

(Protection type is "patent" unless otherwise stated - for applications prior to 2004)

AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CR CU CZ DE DK DM DZ EE

Publication Language: English

Filing Language: English

Fulltext Word Count: 12526

Patent Applicant/Inventor:

... Designated only for: US

CARSTEN Keith,

Legal Representative:

Fulltext Availability:

Detailed Description

Detailed Description

... 4:00 pm and 9:30 am during the week, and during weekends and holidays.

System 2 automatically batches

trade information at the end of the trading day (e.g.,

4:30 pm) from trading...

13/3,K/9 (Item 9 from file: 349)

DIALOG(R)File 349: PCT FULLTEXT

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00743938 **Image available**

AUCTION MARKET WITH PRICE IMPROVEMENT MECHANISM

MARCHE AUX ENCHERES AVEC MECANISMES D'AMELIORATION DES PRIX

Patent Applicant/Assignee:

PRIMEX HOLDINGS LLC, 885 Third Avenue, New York, NY 10022, US, US

(Residence), US (Nationality), (For all designated states except: US)

Patent Applicant/Inventor:

MADOFF Peter B, 34 Pheasant Run, Old Westbury, NY 11568, US, US

(Residence), US (Nationality), (Designated only for: US)

CASANOVA Alberto C, 821 Oak Harbour Drive, Juno Beach, FL 33408, US, US

(Residence), CU (Nationality), (Designated only for: US)

KEI TH Christopher, 105 Hudson Street, New York, NY

10013, US, US (Residence), US (Nationality), (Designated only for: US)

Legal Representative:

MALONEY Denis G, Fish & Richardson, P.C., 225 Franklin Street,

Boston, MA 02110-2804, US

Patent and Priority Information (Country, Number, Date):

Patent: WO 200057307 A1 20000928 (WO 0057307)

Application: WO 2000US7157 20000317 (PCT/WO US0007157)

Priority Application: US 99272542 19990319

Designated States:

(Protection type is "patent" unless otherwise stated - for applications prior to 2004)

(EA) AM AZ BY KG KZ MD RU TJ TM

Publication Language: English

Filing Language: English

Fulltext Word Count: 10210

Patent Applicant/Inventor:

... Designated only for: US)

KEI TH Christopher...

Legal Representative:

Fulltext Availability:

Detailed Description

Claims

Detailed Description

... 56, subsequent to entry
of the customer order of broker/dealer D. The automated
auction **system** 20 executes the
trade between the **two**
customer orders of Broker/dealer A and Broker/dealer D,
since the customer order of...

Claim

... product;
and
wherein the pre-defined relative indications
specify a price relative to a current **market** price.
20

8 The **method** of claim 7 wherein the pre-defined
relative indications specify a quantity of the product...

III. Text Search Results from Dialog

A. Full-Text Databases

show files

File 348:EUROPEAN PATENTS 1978-201027

(c) 2010 European Patent Office

File 349:PCT FULLTEXT 1979-2010/UB=20100701|UT=20100624

(c) 2010 WIPO/Thomson

File 325:Chinese Patents Fulltext 1985-20100602

(c) 2010. SciPat Benelux NV.

File 15:ABI/Inform(R) 1971-2010/Jul 08

(c) 2010 ProQuest Info&Learning

File 9:Business & Industry(R) Jul/1994-2010/Jul 08

(c) 2010 Gale/Cengage

File 610:Business Wire 1999-2010/Jul 09

(c) 2010 Business Wire.

File 810:Business Wire 1986-1999/Feb 28

(c) 1999 Business Wire

File 275:Gale Group Computer DB(TM) 1983-2010/May 28

(c) 2010 Gale/Cengage

File 624:McGraw-Hill Publications 1985-2010/Jul 08

(c) 2010 McGraw-Hill Co. Inc

File 621:Gale Group New Prod.Annou.(R) 1985-2010/May 19

(c) 2010 Gale/Cengage

File 636:Gale Group Newsletter DB(TM) 1987-2010/Jul 08

(c) 2010 Gale/Cengage

File 613:PR Newswire 1999-2010/Jul 09

(c) 2010 PR Newswire Association Inc

File 813:PR Newswire 1987-1999/Apr 30

(c) 1999 PR Newswire Association Inc
 File 16:Gale Group PROMT(R) 1990-2010/Jul 08
 (c) 2010 Gale/Cengage
 File 160:Gale Group PROMT(R) 1972-1989
 (c) 1999 The Gale Group
 File 634:San Jose Mercury Jun 1985-2010/Jul 08
 (c) 2010 San Jose Mercury News
 File 148:Gale Group Trade & Industry DB 1976-2010/Jul 08
 (c) 2010 Gale/Cengage
 File 20:Dialog Global Reporter 1997-2010/Jul 09
 (c) 2010 Dialog
 File 256:TecTrends 1982-2010/Jun W4
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 File 625:American Banker Publications 1981-2008/Jun 26
 (c) 2008 American Banker
 File 637:Journal of Commerce 1986-2010/Jul 09
 (c) 2010 UBM Global Trade
 File 635:Business Dateline(R) 1985-2010/Jul 08
 (c) 2010 ProQuest Info&Learning
 File 570:Gale Group MARS(R) 1984-2010/Jun 03
 (c) 2010 Gale/Cengage
 File 47:Gale Group Magazine DB(TM) 1959-2010/Jun 15
 (c) 2010 Gale/Cengage
 File 268:Banking Info Source 1981-2010/Jun W4
 (c) 2010 ProQuest Info&Learning
 File 626:Bond Buyer Full Text 1981-2008/Jul 07
 (c) 2008 Bond Buyer
 File 267:Finance & Banking Newsletters 2008/Sep 29
 (c) 2008 Dialog
 File 608:MCT Information Svc. 1992-2010/Jul 08
 (c) 2010 MCT Information Svc.
 File 647:UBM Computer Fulltext 1988-2010/Jul W1
 (c) 2010 UBM, LLC
 File 674:Computer News Fulltext 1989-2006/Sep W1
 (c) 2006 IDG Communications
 File 13:BAMP 2010/Jul 08
 (c) 2010 Gale/Cengage
 File 75:TGG Management Contents(R) 86-2010/Jun W4
 (c) 2010 Gale/Cengage
 File 95:TEME-Technology & Management 1989-2010/May W5
 (c) 2010 FIZ TECHNIK

? ds

Set	Items	Description
S1	180967	(TWO OR 2 OR 2ND OR SECOND OR SECONDARY OR DUAL OR BI OR DOUBLE)(3N)(MARKET? OR TRAD??? OR TRANSACT?)(3N)(PROCESS OR METHOD OR METHODOLOGY? OR PLATFORM OR PROCEDURE? ? OR SYSTEM? ? OR OPERATION? ?)
S2	26546	(BUY OR BUYING OR PURCHAS? OR ACQUIR?)(3N)(SELL OR SELLING OR SALE? ?)(3N) (MARKET? OR TRAD??? OR TRANSACT?)(3N)(PROCESS OR METHOD OR METHODOLOGY? OR PLATFORM OR PROCEDURE? ? OR SYSTEM? ? OR OPERATION? ?)
S3	170414	(TWO OR 2 OR 2ND OR SECOND OR SECONDARY OR DUAL OR BI OR DOUBLE)(3N) (PROCESS OR METHOD OR METHODOLOGY? OR PLATFORM OR PROCEDURE? ? OR SYSTEM? ? OR OPERATION? ?)(3N)(OPERATING OR FUNCTIONING OR WORKING OR PROCESSING OR ACTIVE OR ACTIVATED)(3N)(SAME OR THE SAME OR ONE OR SINGULAR OR LONE OR SINGLE OR EACH OR INDIVIDUAL)

S4 79253 (THREE OR THIRD OR TRIPLE OR 3 OR 3RD)(3N)(PROCESS OR METHOD OR METHODOLOGY? OR PLATFORM OR PROCEDURE? ? OR SYSTEM? ? - OR OPERATION? ?)(3N)(OPERATING OR FUNCTIONING OR WORKING OR PROCESSING OR ACTIVE OR ACTIVATED)(3N)(SAME OR THE SAME OR ONE OR SINGULAR OR LONE OR SINGLE OR EACH OR INDIVIDUAL)
 S5 12174 REPRESENTATION()(PROCESS OR METHOD OR METHODOLOGY? OR PLATFORM OR PROCEDURE? ? OR SYSTEM? ? OR OPERATION? ?)
 S6 1640255 (PAIRING OR MATCHING OR CONVERT? OR CONVERSION OR LINK? OR RELAT?)(3N) (ORDER? ? OR TRADE? ? OR TRADING OR TRANSACTION? ? OR PURCHAS?? OR EXCHANG???)
 S7 1208931 (DIFFERENT? OR DIVERSE OR VARIOUS OR UNRELAT? OR SEPARATE OR DISTINCT OR DISTINGUISH?? OR DISPARATE)(3N)(MARKET? OR TRADE??? OR TRANSACT?)
 S8 902093 (PLACE OR PUT OR ENTER OR SEND OR REQUEST)(3N)(ORDER? ? OR TRADE? ? OR TRADING OR TRANSACTION? ? OR PURCHAS?? OR EXCHANG???)
 S9 4178 AU=(KEITH, C? OR KEITH C? OR KEITH(2N)C?)
 S10 14 S9 AND S1
 S11 0 S10 AND S2
 S12 5 S9 AND S5
 S13 628 S1(25N)S2
 S14 2 S13(25N)S3
 S15 0 S13(15N)S4
 S16 0 S13(15N)S5
 S17 14 S13(15N)S6
 S18 10 S13(15N)S7
 S19 21 S13(15N)S8
 S20 916 (S1:S2)(15N)S3
 S21 87 S20(7N)S4
 S22 1 S21(15N)S5
 S23 15 S21(15N)S6
 S24 11 S21(15N)S7
 S25 7 S21(15N)S8
 S26 67 S14 OR S17 OR S18 OR S19 OR S22 OR S23 OR S24 OR S25
 S27 19 S26 NOT PY>2001

?

27/3,K/1 (Item 1 from file: 349)
 DIALOG(R)File 349: PCT FULLTEXT
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00831857 **Image available**
 RISK MANAGEMENT AND RISK TRANSFER CONDUIT SYSTEM
 SYSTEME CANALISATEUR DE GESTION DE RISQUES ET DE TRANSFERT DE RISQUES
 Patent Applicant/Inventor:

TURBEVILLE Wallace C, Apartment 10S, 105 Hudson Street, New York, NY 10013, US, US (Residence), US (Nationality)
 PERRY J Scott, Apartment 5H, 51 West 84th Street, New York, NY 10024, US, US (Residence), US (Nationality)

Legal Representative:

AUFRICHTIG Peter D (agent), Aufrichtig Stein & Aufrichtig, P.C., 5th floor, 300 East 42nd Street, New York, NY 10017, US,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200165447 A1 20010907 (WO 0165447)

Application: WO 2001US6323 20010228 (PCT/WO US0106323)

Priority Application: US 2000185900 20000229; US 2000197166 20000414; US 2000197167 20000414

Designated States:

(Protection type is "patent" unless otherwise stated - for applications prior to 2004)

AE AG AL AM AT AU AZ BA BB BG BR BY BZ CA CH CN CO CR CU CZ DE DK DM DZ

Publication Language: English

Filing Language: English

Fulltext Word Count: 12918

Fulltext Availability:

Detailed Description

Detailed Description

... contracts of assurance.

When a party signs up to participate in a risk transfer conduit **system** enabled

market trading

system, it will

enter into two separate agreements

before it can conduct any

trades on the **system**. The first is

a master bilateral

purchase/sale agreement. The second

is a master credit

facility

The master bilateral **purchase/sale**

agreement

constitutes the standardized bilateral contract for all

trades

undertaken by a market participant and outlines the basic terms and conditions of the sale...

27/3,K/2 (Item 2 from file: 349)

DIALOG(R) File 349: PCT FULLTEXT

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00788853 **Image available**

A METHOD FOR THE SECURE TRANSFER OF PAYMENTS

PROCEDE DE TRANSFERT DE PAIEMENTS SECURISE

Patent Applicant/Assignee:

TRINTECH LIMITED, South County Business Park, Leopardstown, Dublin 18, IE
, IE (Residence), IE (Nationality), (For all designated states except:
US)

Patent Applicant/Inventor:

HAMILTON Christopher John, 1724 Ben Crenshaw, Austin Way, TX 78746, US,
US (Residence), US (Nationality), (Designated only for: US)

WELLS Lisa Kay, 4903 Whispering Valley Drive, Austin, TX 78727, US, US
(Residence), US (Nationality), (Designated only for: US)

BRAHMBHATT Bhagwat, 45177 Cougar Circle, Fremont, CA 94539, US, US
(Residence), US (Nationality), (Designated only for: US)

Legal Representative:

O'CONNOR Donal H (et al) (agent), Cruickshank & Co., 1 Holles Street,
Dublin 2, IE,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200122374 A1 20010329 (WO 0122374)

Application: WO 2000IE101 20000907 (PCT/WO IE0000101)

Priority Application: EP 99650088 19990922; US 2000200672 20000428; US 2000567975 20000510

Designated States:

(Protection type is "patent" unless otherwise stated - for applications prior to 2004)

AE AL AM AT AU AZ BA BB BG BR BY CA CH CN CR CU CZ DE DE (utility model)
DK DK (utility model) DM EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP KE
KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX NO NZ PL PT RO RU

Publication Language: English

Filing Language: English

Fulltext Word Count: 17440

Fulltext Availability:

Detailed Description

Claims

Claim

... be varied in both construction and detail within the scope of the claims.

CLAIMS

A **method** for the secure transfer of payment and **related purchase** information over a network **sales system** for a payment card **transaction**, the **system** including a communications network (2) and at least a card holder computer (4) operated by a card holder (4a), a...

27/3,K/5 (Item 5 from file: 349)

DIALOG(R) File 349: PCT FULLTEXT

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00574720 **Image available**

AUTOMATED PRICE IMPROVEMENT PROTOCOL PROCESSOR
PROCESSEUR POUR PROTOCOLE D'AMELIORATION AUTOMATISEE DE LA FIXATION DES PRIX

Patent Applicant/Assignee:

CANTOR FITZGERALD SECURITIES,

Inventor(s):

LUTNICK Howard,

FRASER Stuart A,

PAUL Bijoy,

Patent and Priority Information (Country, Number, Date):

Patent: WO 200038093 A1 20000629 (WO 0038093)

Application: WO 99US26154 19991105 (PCT/WO US9926154)

Priority Application: US 98216464 19981218

Designated States:

(Protection type is "patent" unless otherwise stated - for applications prior to 2004)

AE AL AU AZ BA BB BG BR CA CN CU CZ EE GD GE HR HU ID IL IN IS JP KP KR KZ LC LK LR LS LT LV MG MK MN MX NO NZ PL RO SG SI SK TR TT UA UZ VN YU ZA GH GM KE LS MW SD SL SZ TZ UG ZW AM AZ BY KG KZ MD RU TJ TM AT BE CH CY DE DK ES FI FR GB GR IE IT LU MC NL PT SE BF BJ CF CG CI CM GA GN GW ML MR NE SN TD TG

Publication Language: English

Fulltext Word Count: 16593

Fulltext Availability:

[Detailed Description](#)
[Claims](#)

Claim

... becomes a trader and conditions where a trader and other Participants may participate in a **trade** and obtain price improvements from their declared **buy** and/or **sell** orders.

5 The **trading system** of claim 4,
where price improvements occur when existing and/or additional Participants **enter** select item **trading** position changes or commands.

6 The **trading system** of claim 2, wherein said logic structure rank bids and/or offers.
7 The trading system of claim...

27/3,K/7 (Item 1 from file: 15)
DIALOG(R)File 15: ABI/Inform(R)
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00625036 92-40138
International Countertrade: Is It a Sale Yet?
Elenbaas, John E.; Kreuze, Jerry G.
CPA Journal v62n7 PP: 66-67 Jul 1992
ISSN: 0732-8435 JRNL CODE: CPA
WORD COUNT: 1406

...TEXT: appropriate provision for uncollectible accounts. A transaction generally is not considered a sale unless an **exchange** has taken **place**, a liquid asset has been received, and the earnings **process** is complete or virtually complete. Since countertrade represents both a **sale** and a **purchase** requirement integrated into one agreement, the **sale** really cannot be considered independent of the **purchase**.

Since the countertrade **transaction** is a **two-part process**, at what point should revenue be recognized? And for that matter, subsidiary should recognize the...

27/3,K/8 (Item 1 from file: 810)
DIALOG(R)File 810: Business Wire
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0951761 BW0195



TRADE'EX: MetalSite Goes Live With TRADE'ex Procurement for the Marketplace

December 14, 1998

Byline: Business Editors/Technology Writers

...MetalSite is a vertical industry Web portal for the online purchase of metals products from **various** suppliers. Meta ISite uses

TRADE'ex Procurement for the Marketplace</ B& two-way commerce process (buy and sell-side functionality) for the metals industry.

"TRADE'ex Procurement for the Marketplace is the only commerce management solution available to meet our...

27/3,K/13 (Item 4 from file: 636)
DIALOG(R)File 636: Gale Group Newsletter DB(TM)
(c) 2010 Gale/Cengage. All rights reserved.

01089176 Supplier Number: 40728975 (USE FORMAT 7 FOR FULLTEXT)
NEW PROJECTS UNVEILED AT A.D. LITTLE CONFERENCE
Trading Systems Technology, v2, n18, pN/A
March 27, 1989
Language: English Record Type: Fulltext
Document Type: Newsletter; Trade
Word Count: 576

... the global integration project a "cost effective, interactive, real-time support system for sales and trading."

The front-office system was two-and-a-half years in the making and paid for itself in the first 12 months of operation. The overall plan was to design a system that "from a single location could sell and trade on the sell side or manage money from the buy side."

The system integrates four distinct subsystems into the trader's desk:

Real-time market data delivery,
Analytics, from bond calculators to real-time option...

27/3,K/15 (Item 1 from file: 148)
DIALOG(R)File 148: Gale Group Trade & Industry DB
(c) 2010 Gale/Cengage. All rights reserved.

06227815 SUPPLIER NUMBER: 12826677 (USE FORMAT 7 OR 9 FOR FULL TEXT)
International countertrade: is it a sale yet? (The CPA in Industry)
Elenbaas, John E.; Kreuze, Jerry G.
CPA Journal, v62, n7, p66(2)
July, 1992



ISSN: 0732-8435 LANGUAGE: ENGLISH RECORD TYPE: FULLTEXT; ABSTRACT
WORD COUNT: 1489 LINE COUNT: 00123

... appropriate provision for uncollectible accounts. A transaction generally is not considered a sale unless an exchange has taken place, a liquid asset has been received, and the earnings process is complete or virtually complete. Since countertrade represents both a sale and a purchase requirement integrated into one agreement, the sale really cannot be considered independent of the purchase. Since the countertrade transaction is a two-part process, at what point should revenue be recognized? And for that matter, which subsidiary should recognize...

27/3,K/16 (Item 1 from file: 20)
DIALOG(R)File 20: Dialog Global Reporter
(c) 2010 Dialog. All rights reserved.

11815463 (USE FORMAT 7 OR 9 FOR FULLTEXT)
Trading in index futures
HINDU
July 06, 2000
JOURNAL CODE: FFIN LANGUAGE: English RECORD TYPE: FULLTEXT
WORD COUNT: 907

(USE FORMAT 7 OR 9 FOR FULLTEXT)

... one who is quick to notice the difference in price of the same products in different markets and by the process of buying and selling in two different<
/B> markets at two differ ent prices makes a profit by way of difference in prices.
The terms of a forward...

27/3,K/17 (Item 2 from file: 20)
DIALOG(R)File 20: Dialog Global Reporter
(c) 2010 Dialog. All rights reserved.

03747053 (USE FORMAT 7 OR 9 FOR FULLTEXT)
MetalSite Goes Live With TRADE'ex Procurement for the Marketplace
BUSINESS WIRE
December 14, 1998
JOURNAL CODE: WBWE LANGUAGE: English RECORD TYPE: FULLTEXT
WORD COUNT: 858

(USE FORMAT 7 OR 9 FOR FULLTEXT)

... MetalSite is a vertical industry Web portal for the online purchase of metals products from various suppliers. MetalSite uses TRADE'ex Procurement for the Marketplace&
t;/B> to enable the two-way commerce process (buy and sell

27/3,K/19 (Item 1 from file: 75)
DIALOG(R)File 75: TGG Management Contents(R)
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00156833 SUPPLIER NUMBER: 12826677 (USE FORMAT 7 FOR FULL TEXT)
International countertrade: is it a sale yet? (The CPA in Industry)
Elenbaas, John E.; Kreuze, Jerry G.
The CPA Journal, v62, n7, p66(2)
July, 1992
ISSN: 0732-8435 LANGUAGE: English RECORD TYPE: Fulltext; Abstract
WORD COUNT: 1469 LINE COUNT: 00123

... appropriate provision for uncollectible accounts. A transaction generally is not considered a sale unless an exchange has taken place, a liquid asset has been received, and the earnings process is complete or virtually complete. Since countertrade represents both a sale and a purchase requirement integrated into one agreement, the sale really cannot be considered independent of the purchase. Since the countertrade transaction is a two-part process, at what point should revenue be recognized? And for that matter, which subsidiary should recognize...

IV. Text Search Results from Dialog

A. Abstract Databases

File 350:Derwent WPIX 1963-2010/UD= 201042
(c) 2010 Thomson Reuters
File 347:JAPIO Dec 1976-2010/Feb(Updated 100525)
(c) 2010 JPO & JAPIO
File 35:Dissertation Abs Online 1861-2010/Jun
(c) 2010 ProQuest Info&Learning
File 583:Gale Group Globalbase(TM) 1986-2002/Dec 13
(c) 2002 Gale/Cengage
File 65:Inside Conferences 1993-2010/Jul 08
(c) 2010 BLDSC all rts. reserv.
File 2:INSPEC 1898-2010/Jun W4
(c) 2010 The IET
File 474:New York Times Abs 1969-2010/Jul 09
(c) 2010 The New York Times
File 99:Wilson Appl. Sci & Tech Abs 1983-2010/Apr
(c) 2010 The HW Wilson Co.
File 34:SciSearch(R) Cited Ref Sci 1990-2010/Jul W1
(c) 2010 The Thomson Corp
File 434:SciSearch(R) Cited Ref Sci 1974-1989/Dec
(c) 2006 The Thomson Corp
File 169:Insurance Periodicals 1984-1999/Nov 15
(c) 1999 NILS Publishing Co.
File 6:NTIS 1964-2010/Jul W1
(c) 2010 NTIS, Intl Copyright All Rights Res
File 63:Transport Res(TRIS) 1970-2010/Jun
(c) fmt only 2010 Dialog

File 8:Ei Compendex(R) 1884-2010/Jun W4
 (c) 2010 Elsevier Eng. Info. Inc.
 File 14:Mechanical and Transport Engineer Abstract 1966-2010/May
 (c) 2010 CSA.
 File 7:Social SciSearch(R) 1972-2010/Jul W1
 (c) 2010 The Thomson Corp
 File 139:EconLit 1969-2010/Jun
 (c) 2010 American Economic Association

? ds

Set	Items	Description
S1	9407	(TWO OR 2 OR 2ND OR SECOND OR SECONDARY OR DUAL OR BI OR DOUBLE)(3N)(MARKET? OR TRAD??? OR TRANSACT?)(3N)(PROCESS OR METHOD OR METHODOLOGY? OR PLATFORM OR PROCEDURE? ? OR SYSTEM? ? OR OPERATION? ?)
S2	1748	(BUY OR BUYING OR PURCHASE? OR ACQUIR?)(3N)(SELL OR SELLING OR SALE? ?)(3N) (MARKET? OR TRAD??? OR TRANSACT?)(3N)(PROCESS OR METHOD OR METHODOLOGY? OR PLATFORM OR PROCEDURE? ? OR SYSTEM? ? OR OPERATION? ?)
S3	34421	(TWO OR 2 OR 2ND OR SECOND OR SECONDARY OR DUAL OR BI OR DOUBLE)(3N) (PROCESS OR METHOD OR METHODOLOGY? OR PLATFORM OR -PROCEDURE? ? OR SYSTEM? ? OR OPERATION? ?)(3N)(OPERATING OR FUNCTIONING OR WORKING OR PROCESSING OR ACTIVE OR ACTIVATED)(3-N)(SAME OR THE SAME OR ONE OR SINGULAR OR LONE OR SINGLE OR EACH OR INDIVIDUAL)
S4	10587	(THREE OR THIRD OR TRIPLE OR 3 OR 3RD)(3N)(PROCESS OR METHOD OR METHODOLOGY? OR PLATFORM OR PROCEDURE? ? OR SYSTEM? ? -OR OPERATION? ?)(3N)(OPERATING OR FUNCTIONING OR WORKING OR PROCESSING OR ACTIVE OR ACTIVATED)(3N)(SAME OR THE SAME OR ONE OR SINGULAR OR LONE OR SINGLE OR EACH OR INDIVIDUAL)
S5	10099	REPRESENTATION()(PROCESS OR METHOD OR METHODOLOGY? OR PLATFORM OR PROCEDURE? ? OR SYSTEM? ? OR OPERATION? ?)
S6	238813	(PAIRING OR MATCHING OR CONVERT? OR CONVERSION OR LINK? OR RELAT?)(3N) (ORDER? ? OR TRADE? ? OR TRADING OR TRANSACTION? ? OR PURCHASE?? OR EXCHANG???)
S7	48456	(DIFFERENT? OR DIVERSE OR VARIOUS OR UNRELAT? OR SEPARATE OR DISTINCT OR DISTINGUISH?? OR DISPARATE)(3N)(MARKET? OR TRADE?? OR TRANSACT?)
S8	61327	(PLACE OR PUT OR ENTER OR SEND OR REQUEST)(3N)(ORDER? ? OR TRADE? ? OR TRADING OR TRANSACTION? ? OR PURCHASE?? OR EXCHANG???)
S9	794	AU=(KEITH, C? OR KEITH C? OR KEITH(2N)C?)
S10	1	S9 AND S5
S11	115	S1 AND S2
S12	1	S11 AND S3
S13	0	S11 AND S4
S14	0	S11 AND S5
S15	37	S11 AND S6
S16	18	S11 AND S7
S17	23	S11 AND S8
S18	148	(S1:S2) AND S3
S19	12	S18 AND S4
S20	2	S18 AND S5
S21	27	S18 AND S6
S22	15	S18 AND S7
S23	29	S18 AND S8
S24	114	S15 OR S16 OR S17 OR S19 OR S20 OR S21 OR S22 OR S23
S25	114	RD (unique items)

S26 15 S25 NOT PY>2001
S27 37 S25 NOT AY>2001
S28 37 S26 OR S27

28/3,K/1 (Item 1 from file: 350)
DIALOG(R)File 350: Derwent WPIX
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0019571206 - Drawing available
WPI ACC NO: 2009-P38334/200967
Computer-implemented method for quoting securities in market maker quotation system i.e. client system, involves reflecting quotes with bid and offer prices for securities to reflect position of market maker and customer order
Patent Assignee: NASDAQ OMX GROUP INC (NASD-N)
Inventor: BERKELEY A R; DELLA R J; KETCHUM R G
Patent Family (1 patents, 1 countries)
Patent Application
Number Kind Date Number Kind Date Update
US 7599875 B1 20091006 US 1998208942 A 19981210 200967 B

Priority Applications (no., kind, date): US 1998208942 A 19981210

Patent Details

Number Kind Lan Pg Dwg Filing Notes
US 7599875 B1 EN 10 4

Original Titles:

Dual quote market system
Alerting Abstract ...ADVANTAGE - The **method** effectively utilizes the **market** maker's proprietary quotes and agency quotes to convey willing for **selling** and **buying** the security for the **market** maker's proprietary account in the market...

Original Publication Data by Authority

Argentina

Assignee name & address:

Claims:

...a market maker for a security using a unique market maker identifier corresponding to the market maker that is **different** from **market** maker identifiers for other market makers; and in response to a customer order, by the...

28/3,K/4 (Item 4 from file: 350)
DIALOG(R)File 350: Derwent WPIX
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0013390584 - Drawing available
WPI ACC NO: 2003-480496/200345
XRPX Acc No: N2003-382016
Cache load balancing method in multiprocessor web server, involves mapping

each transaction types to several servers using performance statistics to form dispatch table

Patent Assignee: HSIEH H (HSIE-H); HUANG C (HUAN-I); SINGH R (SING-I)

Inventor: HSIEH H; HUANG C; SINGH R

Patent Family (1 patents, 1 countries)

Patent Application

Number Kind Date Number Kind Date Update

US 20030065702 A1 20030403 US 2001962964 A 20010924 200345 B

Priority Applications (no., kind, date): US 2001962964 A 20010924

Patent Details

Number Kind Lan Pg Dwg Filing Notes

US 20030065702 A1 EN 12 6

Alerting Abstract ...ADVANTAGE - Enables to dispatch incoming **transactions to various** servers and hence **effective usage of** processor cache is attained. Enables to reduce regency time for processing the transaction...

Original Publication Data by Authority

Argentina

Assignee name & address:

Claims:

What is claimed is: 1. A method, comprising:
identifying multiple transaction types to be processed by a load balancing **system** having **two or more** **processing** units; determining performance statistics for **each of the multiple transaction types**; mapping **each** of the multiple transaction types **to the two or more processing** units using the **performance** statistics to form a dispatch table; and **dispatching** incoming transactions **to** the **two or more** processing units using the dispatch table.

28/3,K/5 (Item 5 from file: 350)

DIALOG(R)File 350: Derwent WPIX

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0013359664 - Drawing available

WPI ACC NO: 2003-447739/200342

XRPX Acc No: N2003-357061

Two-phase commit protocol providing **method** for **transaction** processing **system**, involves completing **transaction** using **two-phase commit** protocol if transaction results in changes are made in more than one database

Patent Assignee: BORLAND SOFTWARE CORP (BORL-N)

Inventor: WEEDON J K

Patent Family (2 patents, 1 countries)

Patent Application

Number	Kind	Date	Number	Kind	Date	Update
US 20030046298	A1	20030306	US 2001316827	P	20010831	200342 B
			US 200140032	A	20011022	
US 6799188	B2	20040928	US 200140032	A	20011022	200464 E

Priority Applications (no., kind, date): US 2001316827 P 20010831; US 200140032 A 20011022

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing Notes
US 20030046298	A1	EN	18	5	Related to Provisional US 2001316827

Two-phase commit protocol providing method for transaction processing system, involves completing **transaction using two-phase commit protocol** if transaction results in changes are made in more than one database

Original Titles:

Transaction processing system
providing improved **methodology** for
two-phase commit decision...

...**Transaction processing system**
providing improved **methodology** for
two-phase commit decision

Alerting Abstract ...USE - For providing **two-phase commit protocol** in **transaction processing system** (claimed...)

Original Publication Data by Authority

Argentina

Assignee name & address:
Original Abstracts:

A transaction processing **system**
providing **improved methodology**
for invoking two-
phase commit protocol (2PC) is
described. More particularly, a transaction is handled without use of 2PC
until the system...

...A **transaction processing system**
providing improved **methodology** for invoking
two-phase commit
protocol (2PC) is **described**. More
particularly, a **transaction** is
handled without use of 2PC until the system determines that the transaction
does, in...

...overhead associated with use of the two-phase commit protocol. Because
only a small percentage **of** real world transactions
result in updates to more than **one** database, the
methodology improves the overall performance of
transaction processing
systems considerably.

Claims:

What is claimed is: 1. An improved method for providing two-phase commit protocol (2PC) in a transaction processing system in communication with at least two databases, the method comprising: in response to a transaction initiated by a client, allocating connections to databases participating in said transaction without use of 2PC; reading in records required in said transaction from said databases...

...What is claimed is: 1. An improved method for providing two-phase commit protocol (2PC) in a transaction processing system in communication with at least two databases, the method comprising: in response to a transaction initiated by a client in a transaction processing system comprising at least a three-tier system including at least one client, a middle-tier application server and at least two databases allocating connections to databases participating in said transaction without use of 2PC; reading in records required in said transaction from said databases; determining at the middle-tier application server whether or not said transaction results in changes to more than one database; if said transaction results...

28/3,K/8 (Item 8 from file: 350)
DIALOG(R) File 350: Derwent WPIX
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0012890452 - Drawing available
WPI ACC NO: 2002-749916/200281
XRPX Acc No: N2002-590593

Computerized trading method involves sending information of each matched pair of offer and bid only to concerned traders, with identity and benchmark trading rate set for transaction

Patent Assignee: NOLAN K (NOLA-I); SPENCER M (SPEN-I)

Inventor: NOLAN K; SPENCER M

Patent Family (1 patents, 1 countries)

Patent Application

Number	Kind	Date	Number	Kind	Date	Update
US 20020116314	A1	20020822	US 2001777987	A	20010206	200281 B

Priority Applications (no., kind, date): GB 200030964 A 20001219

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing Notes
US 20020116314	A1	EN	24	10	

Original Publication Data by Authority

Argentina

Assignee name & address:

Original Abstracts:



...plurality of traders using the client computer apparatus (11, 12, 13, 14, 15, 16) to send to the **trading system** computer apparatus (10) via the telecommunications network a plurality of offers for sale of financial instruments; (b) a second plurality of traders using the client computer apparatus (11, 12, 13, 14, 15, 16) to **send** to the **trading system** computer apparatus (10) via the telecommunications network a plurality of bids for purchase of financial instruments; and (c) a trading administrator using the **trading system computer** apparatus (10) to: establish a succession of time limited order entry periods during which offers for **sale** and **bids for purchase** can be submitted to the **trading system** computer apparatus: (<> 10); compare all offers **for sale** and bids for **purchase** made in a single order entry period at the end of the order entry period; to match where possible the **compared** offers for **sale** and bids for **purchase**; to record for each order entry period at least one benchmark **trading** rate; and to make available electronically **via** the telecommunications network to all relevant **traders** information regarding the offers and/or bids which have been matched, such information for each...
Claims:
...the method comprises the steps of: (a) a first plurality of traders using the client **computer** apparatus to send to the **trading system** computer apparatus via the **telecommunications** network a plurality of offers for **sale** of financial **instruments**; (b) a second plurality of **traders** using the client computer apparatus to **send** to the **trading system** computer apparatus via the telecommunications network a plurality of bids for **purchase** of financial instruments; and (c) a trading administrator using the trading system computer apparatus to: establish a succession of time limited order entry periods during which offers for **sale** and **bids for purchase** can be submitted to the **trading system** computer apparatus; compare all offers for **sale** and bids for **purchase** made in a **single** order entry period at the **end** of the order entry period; to match where possible **the** compared offers for **sale** and bids for **purchase**; to record for each order entry period at least one benchmark **trading** rate; and to make available electronically via the telecommunications **network** to all relevant **traders** information regarding the offers and/or bids which have been matched, such information for each...

0012370415 - Drawing available
WPI ACC NO: 2002-313362/200235

XRPX Acc No: N2002-245992

Electronic commerce **system** receives individual information from **purchaser** terminal and **selling** person terminal, and **transaction** information from **transaction agency system**

Patent Assignee: ASTERIK KK (ASTE-N)

Inventor: ENOMOTO S; PARTOS J

Patent Family (1 patents, 1 countries)

Patent Application

Number	Kind	Date	Number	Kind	Date	Update
JP 2002092373	A	20020329	JP 2000280623	A	20000914	200235 B

Priority Applications (no., kind, date): JP 2000280623 A 20000914

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing Notes
JP 2002092373	A	JA	24	20	

Electronic commerce **system** receives individual information from **purchaser** terminal and **selling** person terminal, and **transaction** information from **transaction agency system**

Alerting Abstract ...NOVELTY - A **processing** agency **system** (2) receives **individual** information from a **selling** person terminal (3) and a **purchaser** terminal (4), and receives **transaction** information from a transaction agency **system** (1). The processing agency **system** indicates the collection and delivery of goods and money collection information to a collection delivery...
...ADVANTAGE - Protects privacy, since the individual information of the **selling** person and **purchaser** is not known by the other **transaction** party and improves account settlement **process** efficiency. Avoids erroneous goods delivery, since correct transaction information is received from transaction agency system...

28/3,K/11 (Item 11 from file: 350)
DIALOG(R) File 350: Derwent WPIX
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0011118851 - Drawing available
WPI ACC NO: 2002-055032/200207

XRPX Acc No: N2002-040614

Secure transaction system for use with e-commerce over the Internet uses identity authentication using transaction history

Patent Assignee: RICHARDSON R B (RICH-I)

Inventor: RICHARDSON R B

Patent Family (2 patents, 91 countries)

Patent Application

Number	Kind	Date	Number	Kind	Date	Update
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WO 2001046917 A2 20010628 WO 2000US34802 A 20001220 200207 B
AU 200127321 A 20010703 AU 200127321 A 20001220 200207 E

Priority Applications (no., kind, date): US 1999467196 A 19991220

Patent Details

Number Kind Lan Pg Dwg Filing Notes

WO 2001046917 A2 EN 38 6

National Designated States, Original: AE AG AL AM AT AU AZ BA BB BG BR BY
BZ CA CH CN CR CU CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN
IS JP KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX MZ NO NZ
PL PT RO RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW

Regional Designated States, Original: AT BE CH CY DE DK EA ES FI FR GB GH
GM GR IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TR TZ UG ZW
AU 200127321 A EN Based on OPI patent WO 2001046917

Alerting Abstract ...NOVELTY - The system includes a processing **system** that stores the previous **transaction** data. A **second** processing **system** stores the previous **transaction** data. The **second** processing **system** has at least **one** disabled function. The first processing **system** uses at least the previous transaction data to generate a current **transaction** code. The **second** processing **system** uses the current **transaction** code and the previous transaction data to enable **one** or more of the disabled functions of the **second processing system**.

Original Publication Data by Authority

Argentina

Assignee name & address:

Original Abstracts:

...transactions sont soumises au systeme de verification associe a cette personne et contenant des donnees relative aux **transactions** anterieures effectuees par cette meme personne **avec le fournisseur**. Le systeme de verification analyse ces donnees de transaction afin de determiner les codes de...

Claims:

28/3,K/12 (Item 12 from file: 350)
DIALOG(R)File 350: Derwent WPIX
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0010979786 - Drawing available
WPI ACC NO: 2001-604164/200169
XRPX Acc No: N2001-450952
Automated transaction apparatus in financial institution and convenience store, selects private line or commercial line for communicating high security level of data and low security level of data respectively
Patent Assignee: FUJITSU LTD (FUIT)
Inventor: KURIHARA M; NAKAMURA K

Patent Family (5 patents, 28 countries)

Patent Application

Number	Kind	Date	Number	Kind	Date	Update
EP 1139313	A2	20011004	EP 2000402911	A	20001020	200169 B
JP 2001344426	A	20011214	JP 200165939	A	20010309	200214 E
KR 2001095107	A	20011103	KR 200116550	A	20010329	200223 E
US 6928420	B1	20050809	US 2000667440	A	20000922	200552 E
KR 678556	B1	20070207	KR 200116550	A	20010329	200850 E

Priority Applications (no., kind, date): JP 200095122 A 20000330

Patent Details

Number Kind Lan Pg Dwg Filing Notes

EP 1139313 A2 EN 15 16

Regional Designated States, Original: AL AT BE CH CY DE DK ES FI FR GB GR
IE IT LI LT LU LV MC MK NL PT RO SE SI

JP 2001344426 A JA 10

KR 678556 B1 KO Previously issued patent KR 2001095107

Alerting Abstract USE - Installed at financial institution and convenience store for performing sales **transaction** of **various** kinds of merchandise including computer game software, travel packages, tickets and for processing cash deposit...

Original Publication Data by Authority

Argentina

Assignee name & address:

Claims:

...a controller for selecting said first data processing device for said first process and said second data processing device for said **second process**, and controlling said **transaction** in accordance with the selected data **processing device in each process.**

...when said second transaction is selected by said operating unit, wherein said controller encrypts data **related** to said first **transaction** requiring processing by said first data processing device, generates an encryption key for decoding said

28/3,K/13 (Item 13 from file: 350)
DIALOG(R)File 350: Derwent WPIX
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0010920044 - Drawing available

WPI ACC NO: 2001-541734/200160

Related WPI Acc No: 2001-522915; 2001-522916

XRPX Acc No: N2001-402621

Method of processing **transaction** data

related to access to service provided via number of service providers by retrieving transaction data from several transaction data sources

Patent Assignee: EDGETT J (EDGE-I); FARHAT J (FARH-I); IPASS INC (IPAS-N); ROZENFELD A (ROZE-I); SUNDER S (SUND-I); VU C (VUCC-I)

Inventor: EDGETT J; FARHAT J; ROZENFELD A; SUNDER S; VU C

Patent Family (5 patents, 93 countries)

Patent Number	Kind	Date	Number	Kind	Date	Update
WO 2001063532	A1	20010830	WO 2001US5752	A	20010223	200160 B
US 20010034677	A1	20011025	US 2000185180	P	20000225	200170 E
			US 2001791968	A	20010221	
AU 200141684	A	20010903	AU 200141684	A	20010223	200202 E
EP 1269373	A1	20030102	EP 2001912958	A	20010223	200310 E
			WO 2001US5752	A	20010223	
JP 2003529827	W	20031007	JP 2001562422	A	20010223	200370 E
			WO 2001US5752	A	20010223	

Priority Applications (no., kind, date): US 2000185180 P 20000225; US 2001791968 A 20010221

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing Notes
WO 2001063532	A1	EN	66	21	

National Designated States,Original: AE AG AL AM AT AU AZ BA BB BG BR BY
BZ CA CH CN CR CU CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN

Regional Designated States,Original: AT BE CH CY DE DK EA ES FI FR GB GH
GM GR IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TR TZ UG ZW

US 20010034677 A1 EN Related to Provisional US 2000185180

AU 200141684 A EN Based on OPI patent WO 2001063532

EP 1269373 A1 EN PCT Application WO 2001US5752
Based on OPI patent WO 2001063532

Regional Designated States,Original: AL AT BE CH CY DE DK ES FI FR GB GR
IE IT LI LT LU LV MC MK NL PT RO SE SI TR

JP 2003529827 W JA 74 PCT Application WO 2001US5752
Based on OPI patent WO 2001063532

Method of processing **transaction** data

related to access to service provided via number of
service providers by retrieving transaction data from...

Original Titles:

...PROCEDE ET SYSTEME DE NORMALISATION DE DONNEES DE
TRANSACTIONS RELATIVES A DES ACCES A
UN SERVICE FOURNI PAR UNE PLURALITE DE FOURNISSEURS DE SERVICES...

...PROCEDE ET SYSTEME DE NORMALISATION DE DONNEES DE
TRANSACTIONS RELATIVES A DES ACCES A
UN SERVICE FOURNI PAR UNE PLURALITE DE FOURNISSEURS DE SERVICES

Alerting Abstract ...authentication request from a network server (54) at
a remote ISP (10), and decrypts this **request**. The
transaction server (48) then determines a 'home' ISP
(18) by matching the roaming domain name of...

...a system to process **transaction** data
related to access to
service provided by several service providers a machine
readable medium...

Original Publication Data by Authority

Argentina

Assignee name & address:

Original Abstracts:



...48) that serve to broker access authorization between a first service provider (10) and a second service provider (18).

A dedicated load **process** is instantiated at a **transaction** broker

(34) for **each** of the multiple transaction data sources

(48). Transaction data is retrieved from the multiple transaction...

...transaction servers that serve to broker access authorization between a first service provider and a **second** service provider. A dedicated load process is instantiated at a **transaction** broker for each of the multiple **transaction data sources**.

Transaction data is retrieved from the multiple transaction data sources, **each** dedicated load **process operating** to load transaction data **from** an associated **transaction data** source. By having a dedicated load processes **each** servicing an associated transaction data source, the provision of normalized transaction data in a near...

...48) that serve to broker access authorization between a first service provider (10) and a **second** service provider (18). A dedicated load process is instantiated at a **transaction** broker (34) for each of the multiple **transaction data** sources (48).

Transaction data is retrieved from the **multiple** transaction data sources (48), **each** dedicated load **process operating** to load transaction data from an associated transaction data **source** (48). By **having each** dedicated load **process** servicing an associated transaction data source (48), the provision of normalized transaction data in a...

...L'invention concerne un procede de normalisation de donnees de **transactions relatives** a un acces a un service fourni par un fournisseur de services, qui permet de normaliser des **donnees de transactions** extraites de plusieurs sources de donnees de transactions, sous forme de serveurs (48) de transactions...

Claims:

28/3,K/14 (Item 14 from file: 350)
DIALOG(R) File 350: Derwent WPIX
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0010839155

WPI ACC NO: 2001-457158/200149

XRPX Acc No: N2001-338846

Computer implemented method of trading securities by compiling lists of trading requests for each of a number of trading each with associated trading intervals and periodically reviewing the lists with the smallest data interval

Patent Assignee: MOORE E L (MOOR-I); RZUCIDLO E C (RZUC-I)

Inventor: MOORE E L

Patent Family (2 patents, 89 countries)

Patent Application
Number Kind Date Number Kind Date Update
WO 2001035309 A1 20010517 WO 2000US31172 A 20001113 200149 B
AU 200116576 A 20010606 AU 200116576 A 20001113 200152 E

Priority Applications (no., kind, date): US 1999438240 A 19991112

Patent Details

Number Kind Lan Pg Dwg Filing Notes
WO 2001035309 A1 EN 35 1

National Designated States, Original: AE AL AM AT AU AZ BA BB BG BR BY CA
CH CN CR CU CZ DE DK DM DZ EE ES FI GB GD GE GH GM HR HU ID IL IN IS JP
KE KG KP KR KZ LC LK LR LS LT LU LV MA MD MG MK MN MW MX NO NZ PL PT RO
RU SD SE SG SI SK SL TJ TM TR TT TZ UA UG UZ VN YU ZA ZW

Regional Designated States, Original: AT BE CH CY DE DK EA ES FI FR GB GH
GM GR IE IT KE LS LU MC MW MZ NL OA PT SD SE SL SZ TR TZ UG ZW
AU 200116576 A EN Based on OPI patent WO 2001035309

Alerting Abstract ...NOVELTY - **Two** or more periodic
trading system requests are received
and lists are compiled for each of a number of data intervals...
...apparatus for fulfilling **two** or more periodic
trading system requests a
method of charging customers for
signals **generated** by the execution of
trades and a **method of** operating
a trading system.
...

...ADVANTAGE - Operates a number of **different**
trading systems with **different**
parameters and **trading** intervals efficiently.

Original Publication Data by Authority

Argentina

Assignee name & address:
Original Abstracts:
A method of fulfilling **two**
or more periodic trading
system requests, in which
each of the trading
system requests is **associated**
with a data interval, a **trading**
system, and an **identifier**
representing a security is provided. The
system includes a master data server (1) which receives
data from one or more sources (2...)

...device (6). Upon receiving a request, scheduler (7) reorganizes them in
a table of daily **trading system**
requests. A **trading system** initiates
a buy or sell
signal **based upon aggregate** interval
data. The **buy or sell** notice
is then transmitted to a customer (14...
Claims:

28/3,K/15 (Item 15 from file: 350)
DIALOG(R)File 350: Derwent WPIX
(c) 2010 Thomson Reuters. All rights reserved.

0010766345 - Drawing available
WPI ACC NO: 2001-380421/200140
Related WPI Acc No: 2000-423092; 2001-450390
XRPX Acc No: N2001-278882
Computer based secondary **market** shares
transaction method for investment
companies, involves scanning database for matching **sell**
and **buy** orders and execution **trade**
upon match between **buy** and **sell** order
Patent Assignee: SHKEDY G (SHKE-I)
Inventor: SHKEDY G
Patent Family (1 patents, 1 countries)
Patent Application
Number Kind Date Number Kind Date Update
US 6236972 B1 20010522 US 1998203843 A 19981202 200140 B
US 1998217663 A 19981221

Priority Applications (no., kind, date): US 1998203843 A 19981202; US
1998217663 A 19981221

Patent Details

Number Kind Lan Pg Dwg Filing Notes
US 6236972 B1 EN 31 15 C-I-P of application US 1998203843
Computer based secondary **market** shares
transaction method for investment
companies, involves scanning database for matching **sell**
and **buy** orders and execution **trade**
upon match between **buy** and **sell** order

Alerting Abstract ...to buy order and buyer are stored in a database. The database is scanned for **matching** sell and buy **orders**. Trade is executed upon a match between sell and buy order and confirmation of transaction...
...to buy order and buyer are stored in the database. The database is scanned for **matching** sell and buy **orders**. Trade is executed upon match between sell and buy orders. Transaction confirmation is forwarded to...

Original Publication Data by Authority

Argentina

Assignee name & address:
Claims:
A computer based method for
facilitating a secondary
market transaction
of shares of investment companies
between at least one buyer, an intermediate, and a seller,
comprising: receiving...

...storing said buy order and buy tracking identification to said
database; scanning the database for **matching** sell
and **buy orders**; binding the buyer to

the intermediate; executing **trade** upon a match;
forwarding trade confirmation to
a transfer agent; andforwarding confirmations of
transaction to the buyer and the seller.

28/3,K/19 (Item 19 from file: 350)
DIALOG(R)File 350: Derwent WPIX
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0009226661 - Drawing available
WPI ACC NO: 1999-153147/199913

XRPX Acc No: N1999-110420

Least cost routing selecting method in telecommunication system
Patent Assignee: MCI COMMUNICATIONS CORP (MCIC-N)

Inventor: LITZENBERGER P D

Patent Family (1 patents, 1 countries)

Patent Application

Number	Kind	Date	Number	Kind	Date	Update
US 5870460	A	19990209	US 1995455220	A	19950531	199913 B
			US 1997876249	A	19970616	

Priority Applications (no., kind, date): US 1995455220 A 19950531; US
1997876249 A 19970616

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing Notes
US 5870460	A	EN	9	3	Continuation of application US 1995455220

Assignee name & address:

Original Abstracts:

...allocates data links between a switch and a database for data transactions in a telecommunications network. The data

links between the switch and the database carry the transaction data for providing routing, card verification...

...the least cost routing between the switch and the database, until the volume of data **transactions** in the data

links associated with that **database**

exceeds a predetermined threshold level. If the threshold level is exceeded, the next least "expensive" database is selected, and its data links are utilized used **to** carry the data **transactions** between the database and the switch.

Claims:

A telecommunications system for **selecting** the least cost routing of a database transaction, comprising:at least

two intelligent **platform** means

for providing **information** associated with the transaction, wherein **each** intelligent **platform** means **includes** substantially

identical information required for **processing** the transaction; **each** intelligent **platform** means having

first **ends** of **at** least

two data links connected thereto for

selectively carrying **information**

associated with the **transaction**; and a switch,



communicatively coupled **with** the intelligent **platform** means via **second** connected ends of the data links for routing a telephone call through a network excluding...
transaction traffic on **one** of the **data links** of the first platform means is above the preselected threshold, selectively **switching transactions** to the other data link, for as long as the threshold thereon is not exceeded; and(c) if the **transaction** traffic on both of the data links of the first platform means is above the preselected threshold, selectively **switching transactions** **to the data links** **associated** with a second intelligent **platform** means.

28/3,K/20 (Item 20 from file: 350)
 DIALOG(R)File 350: Derwent WPIX
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0009127428 - Drawing available
 WPI ACC NO: 1999-048147/199905

XRXPX Acc No: N1999-035264

Processing procedure for financial transaction data in electronic payment system - generating data record with header data in which information concerning payment transaction is stored with additional data record generated before further payment transaction begins

Patent Assignee: IBM CORP (IBMC); INT BUSINESS MACHINES CORP (IBMC)

Inventor: BUBLITZ; BUBLITZ H; BUBLITZ H R; NEWTH A R

Patent Family (7 patents, 27 countries)

Patent Application

Number	Kind	Date	Number	Kind	Date	Update
EP 887777	A2	19981230	EP 1998108939	A	19980515	199905 B
DE 19727386	C1	19990107	DE 19727386	A	19970627	199905 E
JP 11025191	A	19990129	JP 1998164748	A	19980612	199915 E
US 6029152	A	20000222	US 1998106428	A	19980629	200017 E
EP 887777	B1	20050126	EP 1998108939	A	19980515	200510 E
DE 69828722	E	20050303	DE 69828722	A	19980515	200517 E
			EP 1998108939	A	19980515	
DE 69828722	T2	20060112	DE 69828722	A	19980515	200611 E
			EP 1998108939	A	19980515	

Priority Applications (no., kind, date): DE 19727386 A 19970627; EP 1998108939 A 19980515

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing Notes
EP 887777	A2	EN	7	1	

Regional Designated States,Original: AL AT BE CH CY DE DK ES FI FR GB GR IE IT LI LT LU LV MC MK NL PT RO SE SI

JP 11025191 A JA 7

EP 887777 B1 EN

Regional Designated States,Original: DE FR GB

DE 69828722 E DE Application EP 1998108939

Based on OPI patent EP 887777
DE 69828722 T2 DE Application EP 1998108939
Based on OPI patent EP 887777

Original Publication Data by Authority

Argentina

Assignee name & address:

Original Abstracts:

The invention relates to a procedure for processing data, especially **transaction** data, in an electronic payment system, whereby the electronic payment system includes a minimum of ...

...The invention relates to a procedure for **processing** data, especially **transaction** data, in an electronic payment system, whereby the electronic payment system includes a minimum of ...

Claims:

...following process steps:

a) generation of a data record (1) which

includes header data,

b) **execution** of a payment

transaction (2) by means of the

minimum of **one payment** terminal,

c) storage of **information** (3) concerning the payment

transaction in the data record,

d) flagging the

data record (6) as a shadow data record...

...a data record (1) which includes header data,b) executing at least one payment transaction (2) by means of the at least

one payment terminal,c) **storing**

information (3) **concerning**

each of said payment transaction(s) after

each execution of **said** payment

transaction(s) **in** the data record,

and

characterized by the steps of,d) flagging the data record (6)...

28/3,K/21 (Item 21 from file: 350)
DIALOG(R)File 350: Derwent WPIX
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0008790820 - Drawing available

WPI ACC NO: 1998-335643/199830

XRPX Acc No: N1998-261962

Computer system with data transaction delivering device between data buses
- has ghost base address register that aids in determining which of devices
on second data bus is target of transaction initiated by first device

Patent Assignee: COMPAQ COMPUTER CORP (COPQ)

Inventor: HAUSAUER B S

Patent Family (6 patents, 26 countries)

Patent Application

Number	Kind	Date	Number	Kind	Date	Update
EP 851361	A1	19980701	EP 1997310689	A	19971231	199830 B

JP 10301893 A 19981113 JP 1997370468 A 19971226 199905 E
US 6070209 A 20000530 US 1996777575 A 19961231 200033 E

Priority Applications (no., kind, date): US 1996777575 A 19961231; EP 1997310689 A 19971231; US 1998196373 A 19981119

Patent Details

Number Kind Lan Pg Dwg Filing Notes

EP 851361 A1 EN 14 5

Regional Designated States, Original: AL AT BE CH DE DK ES FI FR GB GR IE
IT LI LT LU LV MC MK NL PT RO SE SI

JP 10301893 A JA 40

US 6070209 A EN Continuation of application US
1996777575

EP 851361 B1 EN

Regional Designated States, Original: DE FR GB IT

DE 69725687 E DE Application EP 1997310689
Based on OPI patent EP 851361

Original Publication Data by Authority

Argentina

Assignee name & address:

Original Abstracts:

A bridge device for delivering data transactions between devices on
two data buses in a computer

system includes, for each pair of devices that may
transact across the bridge device, a dedicated...

...A bridge device for delivering data transactions between devices on
two data buses in a

computer system includes, for each
pair of devices that may transact across the bridge device, a dedicated...

...A computer **system** comprising: **two**
data buses, **one** of which is
configured to receive from at least **one** data
processing device, requests to write data to or read
data from at least one other data...

...on one of the data buses; a bridge device interposed between the data
buses and **configured** to implement an ordering scheme
that **enables** the bridge device to; receive a write
request and **then a subsequent**
request, in that **order**, from the
one data bus, and deliver the
subsequent request and then the write
request, in that **order**, to the other
data bus; wherein the bridge device is configured to use the grant

28/3,K/25 (Item 25 from file: 350)
DIALOG(R)File 350: Derwent WPIX
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0008047917 - Drawing available
WPI ACC NO: 1997-142286/199713
XRXPX Acc No: N1997-117808



Distributed transaction processing system e.g. for computer - processes object inclination transaction and taken type transaction and co-ordinating them so that transaction result depends on results of both of them

Patent Assignee: IBM CORP (IBMC); INT BUSINESS MACHINES CORP (IBMC)

Inventor: FREUND T J; HOLDSWORTH S A J; SMITH S A; STANLEY A S; THOMAS J F

Patent Family (2 patents, 2 countries)

Patent Application

Number	Kind	Date	Number	Kind	Date	Update
JP 9022356	A	19970121	JP 1995316943	A	19951205	199713 B
US 6138169	A	20001024	US 1994355870	A	19941214	200055 E
			US 1997840999	A	19970422	

Priority Applications (no., kind, date): US 1994355870 A 19941214; US 1997840999 A 19970422

Patent Details

Number Kind Lan Pg Dwg Filing Notes

JP 9022356 A JA 19 8

US 6138169 A EN Continuation of application US 1994355870

Alerting Abstract ...The system performs an object inclination transaction when an object inclination **transaction request** is received through two or more programming interfaces of a first co-ordinator of necessary...

Original Publication Data by Authority

Argentina

Assignee name & address:

Claims:

...in an object oriented application; second means for requesting transaction processing through said plurality of **procedural** programming interfaces from a procedural transaction processing **system**, said **second** means for requesting returning a **second result**; **means for invoking** one or more object oriented **processing** methods from said procedural coordinator said **object oriented processing** methods being **methods** of said means for managing object oriented transactions; and means for coordinating atomic transaction completion...

28/3,K/26 (Item 26 from file: 350)
DIALOG(R)File 350: Derwent WPIX
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0007976518 - Drawing available
WPI ACC NO: 1997-067611/199707

XRPX Acc No: N1997-055608

Control system for transaction flow in computer system with master and slave devices - has logic unit forwarding request to slave processor on local address bus immediately on determining its validity for processing

Patent Assignee: SUN MICROSYSTEMS INC (SUNM); VAN LOO W C (VLOO-I)

Inventor: VAN L W C; VAN LOO W C

Patent Family (6 patents, 8 countries)

Patent Application

Number	Kind	Date	Number	Kind	Date	Update
EP 752666	A2	19970108	EP 1996110736	A	19960703	199707 B
JP 9172460	A	19970630	JP 1996194173	A	19960705	199736 E
US 5854906	A	19981229	US 1995498729	A	19950706	199908 E
			US 1997960999	A	19971030	

Priority Applications (no., kind, date): US 1995498729 A 19950706; US 1997960999 A 19971030; US 1998179048 A 19981026; US 2001875234 A 20010605

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing Notes
EP 752666	A2	EN	25	9	

Regional Designated States,Original: DE FR GB IT NL SE

JP 9172460 A JA 26

US 5854906 A EN Continuation of application US 1995498729

US 6260174 B1 EN Continuation of application US 1995498729

Division of application US 1997960999

Alerting Abstract ...A second logic determines whether one transaction **request** is directed to one slave device on the same address bus as the processor issuing...

Original Publication Data by Authority

Argentina

Assignee name & address:

Original Abstracts:

...master interfaces, one or more slave interfaces, and an interconnect system controller which provides dedicated transaction

request queues for each

master interface and controls the forwarding of transactions to each slave interface. The master interface keeps...

...master interfaces, one or more slave interfaces, and an interconnect system controller which provides dedicated **transaction**

request queues for each master interface and controls

the forwarding of

transactions to each slave interface. The master interface keeps track of the number of requests in...

...of transaction requests that maximizes resource utilization and throughput, and minimizes latency. An interconnect system

controller provides dedicated

transaction request queues for master interfaces and controls the forwarding of **transactions**

to slave **interfaces**. **The** master

interface keeps track of the number of requests in the dedicated queue in the...

Claims:

...said predetermined criteria are met; and second logic configured to determine whether a first said **transaction**

request is directed to



a first said slave device on the same address bus as the processor issuing said first **transaction request**, and if **so** to issue a validity signal to said first slave device indicating, if said predetermined criteria are met, that said first **transaction request** is valid for said first slave device to process...

...said predetermined criteria are met; and second logic configured to determine whether a first said **transaction request** is directed to a first said slave device on the same address bus as the processor issuing **said first transaction request**, and if so to issue a validity signal to said first slave device indicating, if said predetermined criteria are met, that said first **transaction request** is valid for said first slave device to process.

...device via an address bus, the method including the steps of: (1) issuing a first **transaction request** from a first said master device via a first said address bus to a first **said system controller**, said first **transaction request** designated for **processing** by a first said slave device; (2) receiving said first **transaction request** at said first system controller and at any said slave device coupled to said first address bus; (3) determining whether **predetermined validity** criteria are met for said first slave device to **process** said first **transaction request**, and if **so** then proceeding to **step 4**, and otherwise at least temporarily halting processing of said first **transaction request**; (4) determining whether said first slave device is coupled to said first address bus, and if so proceeding to **step 6**, and otherwise proceeding to step 5; (5) processing said first **transaction request** by said first slave device, and proceeding to step 7; (6) forwarding said **transaction request** from said system controller for delivery to said first slave device; and (7) ceasing handling of said first **transaction request** by said system controller.

28/3,K/27 (Item 27 from file: 350)
DIALOG(R)File 350: Derwent WPIX
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0007898357 - Drawing available
WPI ACC NO: 1996-222175/199622
XRPX Acc No: N1996-186424
Facilitating trade in goods and services - determining whether data representing subsequent action in fulfilment of contract satisfies contract, based on stored purchase order data representing contract between buyer and seller
Patent Assignee: FULL SERVICE TRADE SYSTEM LTD (FULL-N); TRADECARD INC (TRAD-N); WORLD TRADE CENTERS ASSOC INC (WORL-N)

Inventor: LYNCH C J; TOZZOLI G F
Patent Family (12 patents, 63 countries)

Patent Number	Kind	Date	Number	Kind	Date	Update
WO 1996012242	A1	19960425	WO 1995US12925	A	19951005	199622 B
AU 199539512	A	19960506	AU 199539512	A	19951005	199636 E
GB 2308210	A	19970618	WO 1995US12925	A	19951005	199727 E
			GB 19977485	A	19970411	
			WO 1995US12925	A	19951005	

Priority Applications (no., kind, date): US 1994323071 A 19941013; US 199820740 A 19980209

Patent Details

Number Kind Lan Pg Dwg Filing Notes
WO 1996012242 A1 EN 54 5

National Designated States,Original: AM AT AU BB BG BR BY CA CH CN CZ DE DK EE ES FI GB GE HU IS JP KE KG KP KR KZ LK LR LT LU LV MD MG MN MW MX NO NZ PL PT RO RU SD SE SG SI SK TJ TM TT UA UZ VN

Regional Designated States,Original: AT BE CH DE DK ES FR GB GR IE IT KE LU MC MW NL OA PT SD SE SZ UG

AU 199539512 A EN Based on OPI patent WO 1996012242
EP 1345145 A2 EN Division of application EP 1995937387

Division of patent EP 789884

Regional Designated States,Original: AT BE CH DE DK ES FR GB GR IE IT LI LT LU LV MC NL PT SE SI

Alerting Abstract ...data representing a contract between a buyer and a seller, and specified by a funder **relating to trade transactions** for buyers and sellers. The criteria is compared with a proposed purchase order to determine...

...Subsequent documents **relating** to the original **purchase** order are compared with the original purchase order to ensure that the terms of the...

Original Publication Data by Authority

Argentina

Assignee name & address:

Original Abstracts:

A system (Figures 1 and 5) stores criteria (50) specified by a funder (Figure 1) relating to **trade transactions** (900) for **buyers and sellers** (Figures 1 and 5). The system (Figures 1 and 5) compares the criteria (50...

...funder for the buyer to the seller. The system also compares subsequent documents (610, 620) **relating** to an original **purchase order** with the **original** purchase order to ensure that the terms of the purchase order are properly fulfilled (640...

...A system stores criteria specified by a funder **relating to trade transactions** for buyers and sellers. The system compares

the criteria with a **proposed purchase order** to determine whether the system can generate a payment guarantee on behalf of the funder for the buyer to the seller. The system also compares subsequent documents **relating** to an original **purchase order** with the original purchase order to ensure that the **terms** of the **purchase order** are properly fulfilled. When the appropriate conditions for payment are met, the system issues a... funds transfer instruction...
...manual processing of documentation for compliance therewith, comprising the steps of: comparing in a data **processing system** first proposed contract data transmitted internationally from at least one of a buyer and a seller and **second** proposed **contract** data transmitted by **the** other thereof with acceptable contract data stored in the data processing system; establishing a contract for international shipment of goods based on the comparison of the first and **second** proposed contract data; **producing data** in the data **processing system** representing a payment guarantee **to** the seller for payment under the contract; **storing** in the data **processing system**, purchase order data representing selected terms of the contract for international shipment of goods; receiving

28/3,K/28 (Item 28 from file: 350)
DIALOG(R) File 350: Derwent WPIX
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0007807992 - Drawing available
WPI ACC NO: 1996-435875/199644
Packet switched cache coherent multiprocessor system - includes master interface for sending memory transaction requests to system controller and for receiving cache access **request** corresp. to memory **transaction** requests by other data processor
Patent Assignee: SUN MICROSYSTEMS INC (SUNM)
Inventor: COFFIN L F; EBRAHIM Z; KOHN L; LESLIE K; NARAD C E; NISHTALA S; NORMOYLE K; VAN L W C; VAN LOO W C
Patent Family (5 patents, 7 countries)
Patent Application

Number	Kind	Date	Number	Kind	Date	Update
EP 735482	A1	19961002	EP 1996301927	A	19960321	199644 B
JP 9114795	A	19970502	JP 199678712	A	19960401	199728 E
US 5657472	A	19970812	US 1995414922	A	19950331	199738 E
EP 735482	B1	20030514	EP 1996301927	A	19960321	200333 E
DE 69628080	E	20030618	DE 69628080	A	19960321	200348 E
			EP 1996301927	A	19960321	

Priority Applications (no., kind, date): US 1995414922 A 19950331; EP 1996301927 A 19960321

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing Notes
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EP 735482 A1 EN 88 18
Regional Designated States,Original: DE FR GB IT NL SE
JP 9114795 A JA 84
US 5657472 A EN 61 18
EP 735482 B1 EN
Regional Designated States,Original: DE FR GB IT NL SE
DE 69628080 E DE Application EP 1996301927
Based on OPI patent EP 735482

...master interface for sending memory transaction requests to system controller and for receiving cache access **request** corresp. to memory **transaction** requests by other data processor

Alerting Abstract ...The system includes a data processor with a master interface for sending memory **transaction** **request** to the system controller. The master interface includes at least two parallel independent outbound request queues for storing memory transaction requests to be sent to the system controller. Memory **transaction** requests in **different transaction** classes are stored by the data processor in different outbound request queues... ...The system controller includes a corresp. Interface coupled to the data processor for receiving memory **transaction** **request** from the data processor. The interface includes at least two parallel independent incoming request queues...

Original Publication Data by Authority

Argentina

Assignee name & address:

Original Abstracts:

...transaction requests by other ones of the data processors. In the preferred embodiment, each memory transaction request is classified **into one** of two **distinct** master classes: a **first** **transaction** class including read memory access requests and a **second** **transaction** class including **w**riteback **m**emory access requests. The master interface and **s**ystem controller have corresponding parallel request queues, one for each master class, for transmitting and receiving memory access requests. The system controller further includes memory **transaction** **request** logic for **p**rocessing **e**ach **m**emory **t**ransaction **request** and a **d**uplicate **c**ache index having a set of duplicate cache tags (Dtags), including one cache tag corresponding to... cache **i**ndex **h**aving a **s**et **o**f duplicate cache tags (Dtags), including **o**ne cache tag corresponding to each master cache tag in an associated data processor.

Claims:

...modified by said data processor;
said data processor including a master interface, coupled to said **s**ystem controller, for sending memory **transaction** requests to said **s**ystem controller, said master



interface including **at least two parallel independent** outbound request queues for storing memory **transaction requests** to be sent to said **system controller**; said **memory transaction** requests including a first **transaction class** that includes read **memory transaction** requests and a second **transaction class** that includes writeback memory transaction requests, wherein memory transaction requests in said first transaction class are stored by said data processor in a first one of said outbound **request** queues and memory **transaction** requests in said second **transaction class** are stored by said data processor in a second one of said outbound request queues; said **system controller** including a corresponding interface coupled to said data processor for receiving memory transaction requests from said data processor, said interface including at least two parallel independent incoming **request** queues for storing memory transaction requests received from said data processor...

...

28/3,K/29 (Item 29 from file: 350)
 DIALOG(R)File 350: Derwent WPIX
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0007712907 - Drawing available
 WPI ACC NO: 1996-335657/199634

XRXPX Acc No: N1996-282899

Relational database computer system - uses four on-line data definition procedures to allow structure of database table or index to be altered while table or index remains available for execution of transactions

Patent Assignee: COMPAQ COMPUTER CORP (COPQ); TANDEM COMPUTERS INC (TAND)

Inventor: CELIS P; MAIER D S; MARTON R S; TROISI J H

Patent Family (5 patents, 6 countries)

Patent Application

Number	Kind	Date	Number	Kind	Date	Update
EP 723238	A1	19960724	EP 1996300429	A	19960123	199634 B
CA 2167790	A	19960724	CA 2167790	A	19960122	199645 E
US 5625815	A	19970429	US 1995377758	A	19950123	199723 E
			US 1996629000	A	19960412	
EP 723238	B1	20010919	EP 1996300429	A	19960123	200155 E
DE 69615230	E	20011025	DE 69615230	A	19960123	200171 E
			EP 1996300429	A	19960123	

Priority Applications (no., kind, date): US 1995377758 A 19950123; EP 1996300429 A 19960123; US 1996629000 A 19960412

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing Notes
EP 723238	A1	EN	42	7	
Regional Designated States,Original: DE FR GB IT SE					
CA 2167790	A	EN			
US 5625815	A	EN	43	7	Continuation of application US 1995377758

EP 723238 B1 EN
Regional Designated States, Original: DE FR GB IT SE
DE 69615230 E DE Application EP 1996300429
Based on OPI patent EP 723238

Original Publication Data by Authority

Argentina

Assignee name & address:

Original Abstracts:

...storing records having primary key values in a primary key range distinct from the other partitions. A

transaction manager generates and stores an audit trail, each audit entry denoting a database table record...

...having primary key values in a primary key range distinct from the other partitions. A **transaction** manager generates

and stores an audit trail, each audit entry denoting a database table record event, such as...

Claims:

...for accessing data in a first of said objects and storing corresponding data in a **second** of said objects while allowing continued performance of **computational transactions** against said first **object; second** phase instructions, for execution **after** said first phase instructions, for accessing said audit records in said audit trail created by...

28/3,K/30 (Item 30 from file: 350)
DIALOG(R) File 350: Derwent WPIX
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0006893914 - Drawing available
WPI ACC NO: 1994-287376/199436

XRPX Acc No: N1994-226292

Synchronising transaction processing method in distribute system - involves forwarding and receiving **request** and responses to **transaction** requests using application program for requester

Patent Assignee: INT BUSINESS MACHINES CORP (IBM)

Inventor: GILES R A; GILLES R A; GRAFE R J; HADERLE D J; JACKSON R D; MOHAN C; REINSCH R A; SANDERS R R; SLONIM J; ZIMOWSKI M R

Patent Family (6 patents, 4 countries)

Patent	Application					
Number	Kind	Date	Number	Kind	Date	Update
EP 616284	A2	19940921	EP 1994301336	A	19940224	199436 B
CA 2119221	A	19940917	CA 2119221	A	19940316	199443 E
EP 616284	A3	19950329	EP 1994301336	A	19940224	199543 E
US 5455944	A	19951003	US 199331774	A	19930316	199545 E
US 5561797	A	19961001	US 199332089	A	19930315	199645 E
			US 1995425675	A	19950418	
CA 2119221	C	19980915	CA 2119221	A	19940316	199847 E

Priority Applications (no., kind, date): US 199332089 A 19930315; US 199331774 A 19930316; US 1995425675 A 19950418

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing Notes
EP 616284	A2	EN	28	6	
Regional Designated States,Original: DE FR GB					
CA 2119221	A	EN			
EP 616284	A3	EN			
US 5455944	A	EN	14	4	
US 5561797	A	EN	18	6	Continuation of application US 199332089
CA 2119221	C	EN			

...involves forwarding and receiving **request** and responses to **transaction** requests using application program for requester

Equivalent Alerting Abstract ...receiving a **transaction request** to update a data page...

Original Publication Data by Authority

Argentina

Assignee name & address:

Original Abstracts:

...free space inventory pages (FSIPs) describing field space information relating to data pages. In a transaction processing system, **the** invention provides correct sequences for logging of updates to FSIPs when the updates are required...

Claims:

...a plurality of resource systems, each including a database, including at least one first resource **system** (320) for conducting transaction operations in response to transaction requests under the control of a single-phase transaction synchronization **procedure**, and at least one second resource **system** (340) for performing **transaction operations** in response to **transaction** requests under the **control** of a multi-phase **transaction synchronization procedure**; and a communication **facility** (360) connecting all said application **system** and plurality of resource systems for communication therebetween, the method being characterised by the steps of: executing a transaction at an application system, the transaction including at least one transaction resource...

...application site; otherwise,(b) if one or more first resource sites and one or more **second** resource sites performed database access **operations** during the **transaction**:first, communicating **transaction commit** requests to all such **second** resource sites and to the application requestor and commencing a multi-phase **transaction synchronization procedure** including all such **second** resource sites and the application **requestor**, communicating **transaction synchronization requests** from the application requestor to

all such first resource sites, conducting single-phase transaction synchronization procedures at all such first resource sites in response to the transaction synchronization requests, and communicating results of such single-phase transaction synchronization procedures to the application...

28/3,K/31 (Item 31 from file: 350)
DIALOG(R)File 350: Derwent WPIX
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0006584636 - Drawing available
WPI ACC NO: 1993-396946/199350
XRPX Acc No: N1993-306806

Transactional processing between information server and multiple work stations - uses functional modules at server end and layered architecture at work station end

Patent Assignee: BULL SA (SELA)

Inventor: ABDELMOUNI M; BRUNON J; LI J

Patent Family (5 patents, 5 countries)

Patent Application

Number	Kind	Date	Number	Kind	Date	Update
EP 574303	A1	19931215	EP 1993401459	A	19930608	199350 B
FR 2692058	A1	19931210	FR 19926933	A	19920609	199402 E
US 5596750	A	19970121	US 199371766	A	19930608	199710 E
EP 574303	B1	19990210	EP 1993401459	A	19930608	199911 E
DE 69323448	E	19990325	DE 69323448	A	19930608	199918 E
			EP 1993401459	A	19930608	

Priority Applications (no., kind, date): FR 19926933 A 19920609

Patent Details

Number Kind Lan Pg Dwg Filing Notes

EP 574303 A1 FR 38 15

Regional Designated States,Original: DE ES FR GB IT

US 5596750 A EN 36 15

EP 574303 B1 FR

Regional Designated States,Original: DE ES FR GB IT

DE 69323448 E DE Application EP 1993401459

Based on OPI patent EP 574303

Original Publication Data by Authority

Argentina

Assignee name & address:

Original Abstracts:

The present invention relates to a system for transaction processing between a computer-based server (3) and a plurality of work stations (2), between...

...A system for transactional processing between an information processing server (3) and a plurality of workstations (2) between which the jobs corresponding to activities constituting procedures are executed, the system including, on...

Claims:

...A **system** for transactional processing, comprising: an information processing server (3) and at least one workstation (2) between which jobs corresponding to activities defined by procedures are executed, the server including a...scheduler module (30) for scheduling the execution of the jobs, said scheduler module being operable **upon** the completion **of** an activity to define a **next activity and** create at least one task **necessary** to complete the next activity; a dispatcher module (33) for communicating between the scheduler and...

28/3,K/32 (Item 32 from file: 350)
DIALOG(R)File 350: Derwent WPIX
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0006477047 - Drawing available
WPI ACC NO: 1993-282717/199336

XRXPX Acc No: N1993-217255

Distributed transaction processing method - including processors communicating with other processors and updating resources during transaction and issuing commit message at end of transaction

Patent Assignee: INT BUSINESS MACHINES CORP (IBMC)

Inventor: BRADY M J; MALAIKA S; MEACOCK G

Patent Family (3 patents, 16 countries)

Patent Application

Number	Kind	Date	Number	Kind	Date	Update
GB 2264796	A	19930908	GB 19924440	A	19920302	199336 B
WO 1993018454	A1	19930916	WO 1992GB1218	A	19920706	199338 E
EP 582681	A1	19940216	EP 1992914212	A	19920706	199407 E
			WO 1992GB1218	A	19920706	

Priority Applications (no., kind, date): GB 19924440 A 19920302

Patent Details

Number Kind Lan Pg Dwg Filing Notes

GB 2264796 A EN 33 6

WO 1993018454 A1 EN 30 7

National Designated States,Original: JP US

Regional Designated States,Original: AT BE CH DE DK ES FR GB GR IT LU MC NL SE

EP 582681 A1 EN 30 7 PCT Application WO 1992GB1218
Based on OPI patent WO 1993018454

Regional Designated States,Original: DE FR GB

Alerting Abstract ...commit resources for both client and server, both programs effectively being part of a single **transaction** or treated as **separate transactions** respectively...

Original Publication Data by Authority

Argentina

Assignee name & address:

Original Abstracts:

A < B > method and **system** for distributed
transaction processing between first
and **second transaction processing**
means in communication with **each** other employs a client
program on the first transaction **processing** means which
calls a server program on the second transaction processing means. A first
type...

...means to commit resources independently so that the server program runs
as part of a **separate transaction**.

...

...A **method** and **system** for
distributed **transaction processing**
between first and **second transaction**
processing means in communication with
each other employs a client program on the first
transaction **processing** means which calls a server
program on the second transaction processing means. A first type...

...means to commit resources independently so that the server program runs
as part of a **separate transaction**. >

Claims:

...commit resources for both client and server, both programs effectively
being part of a single transaction or treated as
separate transactions respectively...

28/3,K/33 (Item 33 from file: 350)
DIALOG(R)File 350: Derwent WPIX
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0006301250 - Drawing available
WPI ACC NO: 1993-095677/199312

XRPX Acc No: N1993-073130

Transaction processing across two interconnected distributed networks -

converting respective unique

transaction protocols used by each network into
protocols that can be used by other network.

Patent Assignee: IBM CORP (IBMC); INT BUSINESS MACHINES CORP (IBMC)

Inventor: DANIELS D S; FREUND T J; HASKIN R L; STOREY R A

Patent Family (3 patents, 5 countries)

Patent Application

Number	Kind	Date	Number	Kind	Date	Update
EP 533407	A2	19930324	EP 1992308270	A	19920911	199312 B
JP 5219136	A	19930827	JP 1992209245	A	19920805	199339 E
US 5428771	A	19950627	US 1991761541	A	19910918	199531 E
			US 1994245845	A	19940519	

Priority Applications (no., kind, date): US 1991761541 A 19910918; US
1994245845 A 19940519

Patent Details

Number	Kind	Lan	Pg	Dwg	Filing Notes
EP 533407	A2	EN	18	8	Regional Designated States, Original: DE FR GB
US 5428771	A	EN	20		Continuation of application US 1991761541

...converting respective unique transaction protocols used by each network into protocols that can be used by other network.

Original Titles:

...ADJUSTMENT METHOD FOR DIFFERENT KINDS OF TRANSACTION

Original Publication Data by Authority

Argentina

Assignee name & address:

Claims:

1. A method of processing a transaction across first and second interconnected distributed networks, each network having unique transaction processing protocols, said method comprising the steps of: converting a set of rules that define a first transaction processing protocol for...

...first network into a second set of rules that define a second transaction processing protocol for said second network; converting first transaction processing information, associated with said first protocol into second transaction processing information, associated with said second protocol; and exchanging...

...A method wherein a protocol conversion bridge, in a computer operating system, enables a transaction to be processed across first and second interconnected distributed networks, each network having unique transaction processing protocols, said method comprising the computer implemented steps of: converting a first set of rules that define a first transaction processing protocol for said first network into a second set of rules that define a second transaction processing protocol for said second network; converting first transaction processing information, based upon said first protocol into second transaction processing information, based upon said second protocol, in accordance with said second set of rules...

...transaction coordination responsibility from said first network to said second network based upon a migrate transaction coordination request, included in said second transaction processing protocol,

transmitted from said second network to said first network; synchronizing said first and second networks, subsequent to...

28/3,K/34 (Item 1 from file: 347)
DIALOG(R)File 347: JAPIO
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09310644 **Image available**
BUYING AND SELLING ORDER PLACEMENT SYSTEM, AND BUYING AND SELLING ORDER PLACEMENT METHOD

PUB. NO.: 2008-016009 [JP 2008016009 A]
PUBLISHED: January 24, 2008 (20080124)
INVENTOR(s): SAITO MASAKATSU
ABE YOSHINOBU
APPLICANT(s): KABU.COM SECURITIES CO LTD
APPL. NO.: 2007-059315 [JP 200759315]
FILED: March 09, 2007 (20070309)
PRIORITY: 2006-161201 [JP 2006161201], JP (Japan), June 09, 2006
(20060609)

ABSTRACT

PROBLEM TO BE SOLVED: To provide a buying and selling order placement system for sequentially placing a buying and selling order to a plurality of transaction performance systems
such as an exchange system and PTS for performing a buying and selling transaction based on one buying and selling consignment order accepted from an orderer on a buying and selling order of stock or the like.

SOLUTION: Information on the buying and selling...

...order accepted from the orderer is stored in an order record, and information on the buying and selling order placed to the transaction performance system such as the exchange and PTS is stored in an order placement record, and the order placement record placed to two or more different transaction performance systems is related to the one order record so that consecutive order placement of the buying and selling order to the plurality of the transaction performance systems can be achieved. Information on an agreement status of the buying and selling consignment order and transition to a second transaction system is stored in the order record, and thereby necessity of the consecutive order placement is...

...applied to a repayment order of margin trading, consecutive order can be placed to a market different from a market to which a new open interest is ordered.

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28/3,K/35 (Item 2 from file: 347)
DIALOG(R)File 347: JAPIO
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08448310 **Image available**
FOREIGN CURRENCY FUND TRADE SUPPORT SYSTEM, PROGRAM, AND METHOD

PUB. NO.: 2005-196570 [JP 2005196570 A]
PUBLISHED: July 21, 2005 (20050721)
INVENTOR(s): USUI NAOTO
APPLICANT(s): NOMURA RESEARCH INSTITUTE LTD
APPL. NO.: 2004-003229 [JP 20043229]
FILED: January 08, 2004 (20040108)

ABSTRACT

...and the like to easily deal a foreign currency fund.

SOLUTION: This foreign currency fund trade support system 2 is provided with an agency fellow system 4 installed in the agency fellow side. In...

... 4 transmits an exchange rate applied to an order of the order notification to the sales company system trade information transmitted from the sales company system 8a, that is, trade information representing a purchase (sold) amount of the foreign currency fund by Japanese yen currency is received, and foreign currency trade information matching the received yen currency trade information, that is, trade information representing a purchase (sold) amount...

28/3,K/37 (Item 1 from file: 139)
DIALOG(R)File 139: EconLit
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876300
TITLE: An Analysis of Own Account Trading by Dual Traders in Futures Markets: A Bayesian Approach.
AUTHOR(S): Chakravarty, Sugato; Li, Kai
AUTHOR(S) AFFILIATION: Unlisted; Unlisted
PUBLICATION INFORMATION: Purdue University, Department of Economics,
Purdue University Economics Working Papers PAGES: 52 pages
PUBLICATION DATE: 2000
LANGUAGE: English
DOCUMENT TYPE: Working Paper
ABSTRACT INDICATOR: Abstract

...ABSTRACT: traders' own account trading and whether or not they are informed traders. We estimate our system of equations on each of the 101 most active dual traders in the data, using the Markov chain Monte Carlo (MCMC) method. We find that dual traders are informed traders who do not appear to piggyback off their customers' trades; whose own account trading reflects...

... also show that dual traders are heterogeneous in terms of their trading skills and other trade-related characteristics.

V. Additional Resources Searched

27/ 140-PLUSPAT-© Questel

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Publication Stage

(B1) Granted patent as first publication

Patent Number

US7383220 B1 20080603 [US7383220]

Title

(B1) Automated short term option order processing

Abstract

A trading process automatically requests a short term option having a term of less than a minute, and sometimes less than a second, from a market process. The trading process and the market process both operate on a platform. The market process requests a platform service to set a timer to measure the expiration time of the short term option, and to notify the market process and the trading process at the expiration of the short term option. The short term option is particularly useful for a list of orders that must be executed, if at all, at a guaranteed price; in which case, the platform may adjust the expiration time of the short term options associated with the orders in the list to ensure that the orders in the list can be executed at particular respective prices.

Application Nbr

US09802088 20010308 [2001US-0802088]

Filing Details

CIP of: US09546031 20000410 [2000US-0546031]

Priority Details

US80208801 20010308 [2001US-0802088]

US54603100 20000410 [2000US-0546031]

Inventor(s)

(B1) KEITH CHRISTOPHER (US)

Patent Assignee

(B1) STIKINE TECHNOLOGY LLC (US)

Patent Assignee

Stikine Technology, LLC, Las Vegas NV [US]

30/11/09 1 20^59^10

41/ 140-PLUSPAT-© Questel

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Publication Stage

(A1) First published patent application

Publication Stage 2

(B2) Granted patent as second publication

Patent Number

US2007005488 A1 20070104 [US20070005488]

Patent Number 2

US7383222 B2 20080603 [US7383222]

Title

(A1) ROUTING CONTROL FOR ORDERS ELIGIBLE FOR MULTIPLE MARKETS

Abstract

Trading processes are operative to route orders from order rooms to market processes, which process the orders according to respective market methodologies. The order routing strategy can be embodied in a decision table having rules with conditions and actions to be taken when the conditions are true.

Accordingly, order rooms can readily configure and reconfigure trading processes.

Application Nbr

US11469470 20060831 [2006US-0469470]

Filing Details

Division of: US09801495 20010308 [2001US-0801495]

CIP of: US09546031 20000410 [2000US-0546031]

Previous Publication: US20070005488 A1 20070104

Priority Details

US46947006 20060831 [2006US-0469470]

US80149501 20010308 [2001US-0801495]

US54603100 20000410 [2000US-0546031]

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Publication Stage

(B1) Granted patent as first publication

Patent Number

US7136834 B1 20061114 [US7136834]

Title

(B1) Electronic securities marketplace having integration with order management systems

Abstract

An electronic trading marketplace (ETM) communicates with interfacing modules interfacing directly with order management systems (OMS's) at trading institutions. The interfacing modules automatically transmit orders from the OMS databases to the ETM and update the OMS databases in response to orders executed at the ETM. Traders can communicate with the ETM to anonymously negotiate trades of securities.

Application Nbr

US09834171 20010412 [2001US-0834171]

Filing Details

Provisional Appl: US60242373 20001019 [2000US-P242373]

Priority Details

US83417101 20010412 [2001US-0834171]

US24237300P 20001019 [2000US-P242373]

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Publication Stage

(A1) First published patent application

Publication Stage 2

(B2) Granted patent as second publication

Patent Number

US2006253377 A1 20061109 [US20060253377]

Patent Number 2

US7555457 B2 20090630 [US7555457]

Title

(A1) Aggregated trading system

Abstract

A trading system is described herein for hosting a collection of one or more electronic exchanges. The collection of electronic exchanges may be made up of separately designated exchanges under one or more authorizing and regulating bodies. The trading system receives from traders bids to purchase and offers to sell a tradeable object listed at one of the electronic exchanges. Then, the trading system directs the bids and offers to the appropriate exchange where the bids and offers may be automatically matched in the corresponding market. The trading system may also be used to take actions in one or more markets that are internal and external to the trading system on behalf of a trader using preprogrammed trading instructions.

Application Nbr

US11415863 20060502 [2006US-0415863]

Filing Details

Continuation of: US10702288 20031106 [2003US-0702288]

Previous Publication: US20060253377 A1 20061109

30/11/09 4 20* 59* 10

Priority Details

US41586306 20060502 [2006US-0415863]

US70228803 20031106 [2003US-0702288]

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Publication Stage

(D0) Patent application filed

Publication Stage 2

(A) Published patent application

Patent Number

GB0313935 D0 20030723 [GB200313935]

Patent Number 2

GB2386229 A 20030910 [GB2386229]

Title

(D0) Systems and methods for linking bids and offers in a trading interface

Abstract

Systems and methods of the present invention are directed particularly towards linking bids and offers (406) related to the same or similar items (e.g., currency, stocks, bonds, futures contracts, energy). A user may enter parameters (402) for linking bids and offers. The parameters may be entered (404) prior to, or concurrently with, the entry of the bids and offers. In response, the trading system may generate an offer and a bid (408) substantially simultaneously which may reduce the adverse affects of changed market conditions on the latter of an entered bid or offer.

Application Nbr

GB0313935 20011207 [2003GB-0013935]

PCT Application Number

WOUS0147464 20011207 [2001WO-US47464]

Priority Details

WOUS0147464 20011207 [2001WO-US47464]

US25179000P 20001207 [2000US-P251790]

US99569801 20011129 [2001US-0995698]

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Publication Stage

(A1) First published patent application

Publication Stage 2

(B2) Granted patent as second publication

Patent Number

US2002091617 A1 20020711 [US20020091617]

Patent Number 2

US7472087 B2 20081230 [US7472087]

Title

(A1) Trading program for interacting with market programs on a platform

Abstract

A trading process having a trading methodology selected by a user is operative to interact with market processes having respective market methodologies. The trading process and the market processes are supported on a platform that also supports platform processes for providing services to the trading processes and market processes. The trading processes interact with each other and with external markets through the market processes.

Application Nbr

US09802025 20010308 [2001US-0802025]

Filing Details

CIP of: US09546031 20000410 [2000US-0546031]

Previous Publication: US20020091617 A1 20020711

Priority Details

US80202501 20010308 [2001US-0802025]

US54603100 20000410 [2000US-0546031]

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Publication Stage

(A1) First published patent application

Publication Stage 2

(B2) Granted patent as second publication

Patent Number

US2002049666 A1 20020425 [US20020049666]

Patent Number 2

US7321873 B2 20080122 [US7321873]

Title

(A1) Foreign exchange trading system

Abstract

Computer-implemented trading of financial products can include using a first communication channel to stream offering data for a plurality of different financial products from a server to a trading terminal. A second communication channel can be used to receive request for offers about ones of the financial products from the trading terminal. Such request can include user-specified parameters that modify or further specify characteristics of the desired products. Offers may then be determined for the product in accordance with the user-specified parameters and transmitted (over the second communication channel) back to the trading terminal. Each communication channel can be allocated a different priority

and/or different level of system processing resources to optimize the allocation of system resources based on the criticality of data on each channel.

Application Nbr

US09935257 20010822 [2001US-0935257]

Filing Details

30/11/09 7 20*59*10

Provisional Appl: US60226843 20000822 [2000US-P226843]

Previous Publication: US20020049666 A1 20020425

Priority Details

US93525701 20010822 [2001US-0935257]

US22684300P 20000822 [2000US-P226843]

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Publication Stage

(A1) First published patent application

Publication Stage 2

(B2) Granted patent as second publication

Patent Number

US2002023045 A1 20020221 [US20020023045]

Patent Number 2

US7424452 B2 20080909 [US7424452]

Title

(A1) Method and system for initiating and clearing trades

Abstract

A system and method are provided for facilitating the exchange of data between one or more price providers and customers who communicate with the price providers through various portals, each of which may use its own data format. In transmitting data from customer to price provider, the data output 30/11/09 8 20*59*10

from each portal is normalized to a standardized format and then transmitted to the appropriate price provider(s) where the data exchanged with the various portals can be viewed by a trader at a single display or can be exchanged with an automated pricing engine. The customer may also be provided with a universal Web site at which a customer may access any of the portals' Web sites to simplify access for the customer as well.

Application Nbr

US09848931 20010504 [2001US-0848931]

Filing Details

Provisional Appl: US60207570 20000526 [2000US-P207570]

Provisional Appl: US60203324 20000511 [2000US-P203324]

Provisional Appl: US60202381 20000504 [2000US-P202381]

Previous Publication: US20020023045 A1 20020221

Priority Details

US84893101 20010504 [2001US-0848931]

US20238100P 20000504 [2000US-P202381]

US20332400P 20000511 [2000US-P203324]

US20757000P 20000526 [2000US-P207570]

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Publication Stage

(A1) First published patent application

Publication Stage 2

30/11/09 9 20*59*10

(B2) Granted patent as second publication

Patent Number

US2002013753 A1 20020131 [US20020013753]

Patent Number 2

US7110975 B2 20060919 [US7110975]

Title

(A1) Order matching system

Abstract

A order matching system which allows users to define and modify buy/sell order schedules for execution within one or more transaction destinations. The system uses order schedules and associated evaluation heuristics to evaluate and update order characteristics such as price and quantity based on user-specified criteria. The matching system comprises a user interface which can be connected over the internet to various transaction destinations through a schedule manager and a transaction order interface. The user interface provides users with the ability to obtain information concerning the status of their order account as well as the ability to enter or modify their order schedules. The order manager uses a schedule supervisor server to maintain a database containing order schedules and order status information and to execute variable evaluations on the basis of these order schedules and associated evaluation heuristics. The order manager also uses a transaction supervisor server to monitor the status of order fills and to update the database periodically. The transaction order interface receives and communicates information messages between various transaction destinations and the schedule manager. In this way, the order matching system allows users to specify the ways that various terms and conditions at which they are willing to transact may change over time in an automated fashion while still retaining the ability to intervene at any time.

Application Nbr

US09770108 20010125 [2001US-0770108]

Filing Details

Provisional Appl: US60177649 20000127 [2000US-P177649]

Previous Publication: US20020013753 A1 20020131

Priority Details

US77010801 20010125 [2001US-0770108]

US17764900P 20000127 [2000US-P177649]

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Publication Stage

(A) Patent

Patent Number

US5864827 A 19990126 [US5864827]

Title

(A) System and method for providing an information gateway

Abstract

In a device and method to provide a gateway for the transfer of information between financial markets and customers, a processor is coupled to a customer system and to a financial market system. The processor receives transaction information from the customer system in a first format, converts it to a second format and transmits the transaction information to the financial market system. The processor

receives an acknowledgment and a transaction confirmation from the financial market system in the second format, converts these to the first format and transmits the acknowledgment and the transaction confirmation to the customer system. The processor may also be coupled to a memory, where it stores tracking information relating to the transaction information, the acknowledgment and/or the transaction confirmation.

Application Nbr

US88373997 19970627 [1997US-0883739]

Priority Details

US88373997 19970627 [1997US-0883739]

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Publication Stage

(A) Patent

Patent Number

US5710889 A 19980120 [US5710889]

Title

(A) Interface device for electronically integrating global financial services

Abstract

An interface device for electronically integrating a plurality of financial services provided at different geographical locations and in different time zones, and delivering such services directly to a customer facility at any time requested by the customer. The customer connects to the system whenever desired to access each of the services, and the interface device stores and routes messages between the customers and each of the service providers at the respective times when the customers' facilities and the service providers' facilities are operative. The system can be accessed through a customer's standalone personal computer, local area network, and/or mainframe computer. The system also includes a variety of security functions that provide different levels of access to the services for different customers.

Application Nbr

US47416795 19950607 [1995US-0474167]

Filing Details

Division of: US392270 19950222 [1995US-0392270]

Priority Details

US47416795 19950607 [1995US-0474167]

US39227095 19950222 [1995US-0392270]

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132/ 140-PLUSPAT-© Questel

Publication Stage

(A) Patent

Patent Number

US5136501 A 19920804 [US5136501]

30/11/09 12 20*59*10

Title

(A) ANONYMOUS MATCHING SYSTEM

Abstract

A matching system for trading instruments in which bids are automatically matched against offers for given trading instruments for automatically providing matching transactions in order to complete trades for the given trading instruments, includes a host computer means (20) comprising means for anonymously matching active bids and offers in the system by trading instrument based on a variable

matching criteria, which comprises counterparty credit limit between counterparties (24a, 26b) to a potential matching transaction. The system also includes a transaction originating keystation (24a) for providing a bid on a given trading instrument to the system for providing the potential matching transaction; a counterparty keystation (26b) for providing an offer on the given trading instrument involved in the potential matching transaction; and network means (22) for interconnecting the host computer means (20), the transaction originating keystation (24a) and the counterparty keystation (26b) in the system for enabling data communications therebetween. Both the transaction originating keystation (24a) and the counterparty keystation (26b) for the potential matching transaction each have an associated counterparty credit limit, with the system (20) blocking completion of the potential matching transaction between the transaction originating keystation (24a) and the counterparty keystation means (26b) when the potential matching transaction has an associated value in excess of counterparty credit limit. The assigned credit limits may be reset or varied by the users (24a, 26b) to change the ability of the user or subscriber to effectuate deals.

Application Nbr

US35747889 19890526 [1989US-0357478]

Priority Details

US35747889 19890526 [1989US-0357478]

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Publication Stage

(A) Patent

30/11/09 13 20* 59* 10

Patent Number

US4674044 A 19870616 [US4674044]

Title

(A) Automated securities trading system

Abstract

Data processing based apparatus makes an automated trading market for one or more securities. The system retrieves the best obtaining bid and asked prices from a remote data base, covering the ensemble of institutions or others making a market for the relevant securities. Data characterizing each securities buy/sell order requested by a customer is supplied to the system. The order is qualified for execution by comparing its specifics against predetermined stored parameters. The stored parameters include the operative bid and asked prices, the amount of stock available for customer purchase or sale, and maximum single order size. Once qualified, the order is executed and the appropriate parameters are updated. The system provides inventory (position) control and profit accounting for the market maker. Finally, the system reports the executed trade details to the customer, and to national stock price reporting systems. Upon a change in the quoted price for a security, the system updates all relevant qualification parameters.

Application Nbr

US69640785 19850130 [1985US-0696407]

Priority Details

US69640785 19850130 [1985US-0696407]

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